

UNITED STATES BANKRUPTCY COURT  
CENTRAL DISTRICT OF CALIFORNIA  
LOS ANGELES DIVISION

In re:

ALETHEIA RESEARCH AND § Case No. 2:12-47718-BR  
MANAGEMENT, INC. § Chapter 7  
Debtor(s) § §

**CHAPTER 7 TRUSTEE'S FINAL ACCOUNT AND DISTRIBUTION  
REPORT CERTIFICATION THAT THE ESTATE HAS BEEN FULLY  
ADMINISTERED AND APPLICATION TO BE DISCHARGED (TDR)**

Jeffrey I. Golden, Trustee, chapter 7 trustee, submits this Final Account, Certification that the Estate has been Fully Administered and Application to be Discharged.

1) All funds on hand have been distributed in accordance with the Trustee's Final Report and, if applicable, any order of the Court modifying the Final Report. The case is fully administered and all assets and funds which have come under the trustee's control in this case have been properly accounted for as provided by law. The trustee hereby requests to be discharged from further duties as a trustee.

2) A summary of assets abandoned, assets exempt, total distributions to claimants, claims discharged without payment, and expenses of administration is provided below:

Assets Abandoned: <u>\$5,384,491.46</u> <i>(without deducting any secured claims)</i>	Assets Exempt: <u>N/A</u>
Total Distributions to Claimants: <u>\$0.00</u>	Claims Discharged Without Payment: <u>N/A</u>
Total Expenses of Administration: <u>\$2,978,580.47</u>	

3) Total gross receipts of \$2,998,580.47 (see **Exhibit 1**), minus funds paid to the debtor and third parties of \$20,000.00 (see **Exhibit 2**), yielded net receipts of \$2,978,580.47 from the liquidation of the property of the estate, which was distributed as follows:

	CLAIMS SCHEDULED	CLAIMS ASSERTED	CLAIMS ALLOWED	CLAIMS PAID
SECURED CLAIMS (from <b>Exhibit 3</b> )	\$0.00	\$26,499.63	\$24,779.63	\$0.00
PRIORITY CLAIMS:				
CHAPTER 7 ADMIN. FEES AND CHARGES (from <b>Exhibit 4</b> )	\$0.00	\$3,205,759.96	\$3,205,759.96	\$2,978,580.47
PRIOR CHAPTER ADMIN. FEES AND CHARGES (from <b>Exhibit 5</b> )	\$0.00	\$1,143,974.76	\$1,143,974.76	\$0.00
PRIORITY UNSECURED CLAIMS (from <b>Exhibit 6</b> )	\$0.00	\$13,118,526.00	\$9,608,990.04	\$0.00
GENERAL UNSECURED CLAIMS (from <b>Exhibit 7</b> )	\$0.00	\$33,041,578.46	\$33,034,657.09	\$0.00
<b>TOTAL DISBURSEMENTS</b>	<b>\$0.00</b>	<b>\$50,536,338.81</b>	<b>\$47,018,161.48</b>	<b>\$2,978,580.47</b>

4) This case was originally filed under chapter 7 on 11/11/2012, and it was converted to chapter 7 on 03/29/2013. The case was pending for 148 months.

5) All estate bank statements, deposit slips, and canceled checks have been submitted to the United States Trustee.

6) An individual estate property record and report showing the final accounting of the assets of the estate is attached as **Exhibit 8**. The cash receipts and disbursements records for each estate bank account, showing the final accounting of the receipts and disbursements of estate funds is attached as **Exhibit 9**.

Pursuant to Fed R Bank P 5009, I hereby certify, under penalty of perjury, that the foregoing report is true and correct.

Dated: 07/22/2025

By: /s/ Jeffrey I. Golden  
Trustee

**STATEMENT** This Uniform Form is associated with an open bankruptcy case, therefore, Paperwork Reduction Act exemption 5 C.F.R. § 1320.4(a)(2) applies.

**EXHIBITS TO  
FINAL ACCOUNT**

**EXHIBIT 1 – GROSS RECEIPTS**

DESCRIPTION	UNIFORM TRAN. CODE <sup>1</sup>	\$ AMOUNT RECEIVED
INTERCOMPANY RECEIVABLES FROM BATEMAN EICHLER & CO LLC	1121-000	\$537.49
MANAGEMENT FEES RECEIVABLE	1121-000	\$12,449.97
ALETHEIA RESEARCH AND MANAGEMENT, INC., ET AL., V. PROCTOR INVESTMENT MANAGERS, LLC, ET AL. (CASE NO. 10-600397)	1129-000	\$6,522.50
BANK OF AMERICA - OPERATING (ACCOUNT NO. 2852) (BALANCE AS OF 11/11/2012)	1129-000	\$7,460.82
INVESTMENTS IN ALETHEIA INSIDER INDEX II, LP	1129-000	\$272,213.45
INVESTMENTS IN ALETHEIA INSIDER INDEX, LP	1129-000	\$269,550.23
INVESTMENTS IN ALETHIA SECURITIES, INC.	1129-000	\$118,001.00
NATIONAL FINANCIAL SERVICES, LLC INVESTMENT ACCOUNT (KAA-####89) (BALANCE AS OF 10/31/2012)	1129-000	\$112,220.56
PROCEEDS FROM ONLINE AUCTION HELD THRU 4/2/13	1129-000	\$287,985.65
FEDEX REFUND	1229-000	\$345.94
RETAINER REFUND - GREENBERG TRAURIG PA	1229-000	\$22,118.29
POTENTIAL AVOIDANCE ACTIONS	1249-000	\$998,283.65
WIRE INADVERTENTLY ENTERED IN TES INTO THE INCORRECT CASE	1280-000	\$0.00
AMEX REFUND	1290-000	\$208.85
CH. 11 INDIVIDUAL BOND REFUND	1290-000	\$6,800.00
REBATE OF HEALTH INSURANCE PREMIUM REQUIRED BY THE AFFORDABLE CARE ACT	1290-000	\$3,637.94
REFUND FROM PAYCHEX	1290-000	\$1,971.26
REFUND OF BOND PREMIUM	1290-000	\$144.57
TURNOVER OF FUNDS FROM CH. 11 CASE	1290-010	\$878,128.30
<b>TOTAL GROSS RECEIPTS</b>		<b>\$2,998,580.47</b>
1The Uniform Transaction Code is an accounting code assigned by the trustee for statistical reporting purposes.		

**EXHIBIT 2 – FUNDS PAID TO DEBTOR & THIRD PARTIES**

PAYEE	DESCRIPTION	UNIFORM TRAN. CODE	\$ AMOUNT PAID
DIANA SIGALOS	SETTLEMENT RELATED TO ARBITRATION AGAINST ALETHEIA SECURITIES; PAID PER COURT ORDER ENTERED 10/30/20	8500-000	\$20,000.00
<b>TOTAL FUNDS PAID TO DEBTOR &amp; THIRD PARTIES</b>			<b>\$20,000.00</b>

**EXHIBIT 3 - SECURED CLAIMS**

Claim NO.	CLAIMANT	UNIFORM TRAN. CODE	CLAIMS SCHEDULED (from Form 6D)	CLAIMS ASSERTED	CLAIMS ALLOWED	CLAIMS PAID
19	Los Angeles County Treasurer and Tax Collector	4800-000	\$0.00	\$24,779.63	\$24,779.63	\$0.00
44	Iron Mountain Information Management, Inc.	4110-000	\$0.00	\$1,720.00	\$0.00	\$0.00
<b>TOTAL SECURED</b>			<b>\$0.00</b>	<b>\$26,499.63</b>	<b>\$24,779.63</b>	<b>\$0.00</b>

**EXHIBIT 4 – CHAPTER 7 ADMINISTRATIVE FEES and CHARGES**

PAYEE	UNIFORM TRAN. CODE	CLAIMS SCHEDULED	CLAIMS ASSERTED	CLAIMS ALLOWED	CLAIMS PAID
Trustee, Fees - JEFFREY I. GOLDEN, TRUSTEE	2100-000	NA	\$112,602.63	\$112,602.63	\$86,208.24
Trustee, Expenses - JEFFREY I. GOLDEN, TRUSTEE	2200-000	NA	\$19,878.29	\$19,878.29	\$18,942.19
Attorney for Trustee Fees - GOLDEN GOODRICH LLP FKA WEILAND GOLDEN GOODRICH LLP	3110-000	NA	\$0.00	\$0.00	\$0.00
Attorney for Trustee Fees - WEILAND GOLDEN LLP, FKA LOBEL WEILAND GOLDEN FRIEDMAN LLP	3110-000	NA	\$186,940.00	\$186,940.00	\$153,784.52
Attorney for Trustee Fees - WEILAND, GOLDEN, SMILEY & WANG-EKVALL, LLP FKA WEILAND, GOLDEN, SMILEY, WANG EKVALL & STROK, LLP	3110-000	NA	\$251,102.00	\$251,102.00	\$251,102.00
Attorney for Trustee, Expenses - WEILAND GOLDEN LLP, FKA LOBEL WEILAND GOLDEN FRIEDMAN LLP	3120-000	NA	\$4,303.23	\$4,303.23	\$4,303.23
Attorney for Trustee, Expenses - WEILAND, GOLDEN, SMILEY & WANG-EKVALL, LLP FKA WEILAND, GOLDEN, SMILEY, WANG EKVALL & STROK, LLP	3120-000	NA	\$1,657.53	\$1,657.53	\$1,657.53
Auctioneer Fees - TIGER REMARKETING SERVICES	3610-000	NA	\$87,981.74	\$87,981.74	\$87,981.74
Charges, U.S. Bankruptcy Court	2700-000	NA	\$6,186.00	\$6,186.00	\$6,186.00
Fees, United States Trustee	2950-000	NA	\$4,875.00	\$4,875.00	\$4,875.00
Bond Payments - BOND	2300-000	NA	\$101.78	\$101.78	\$101.78
Bond Payments - INTERNATIONAL SURETIES LTD.	2300-000	NA	\$3,369.22	\$3,369.22	\$3,369.22
Administrative Rent - INDEPENDENT MANAGEMENT SERVICES	2410-000	NA	\$485.46	\$485.46	\$485.46
Administrative Rent - IRON MOUNTAIN	2410-000	NA	\$182,626.47	\$182,626.47	\$182,626.47
Administrative Rent - US STORAGE CENTERS - ORANGE	2410-000	NA	\$26,857.00	\$26,857.00	\$26,857.00
Bank Service Fees - Independent Bank	2600-000	NA	\$4,683.56	\$4,683.56	\$4,683.56
Bank Service Fees - Integrity Bank	2600-000	NA	\$30,813.62	\$30,813.62	\$30,813.62
Bank Service Fees - Veritex Community Bank	2600-000	NA	\$2,338.42	\$2,338.42	\$2,338.42

Income Taxes - Internal Revenue Service (post-petition) - INTERNAL REVENUE SERVICE	2810-000	NA	\$576.92	\$576.92	\$520.14
Other State or Local Taxes (post-petition) - FRANCHISE TAX BOARD	2820-000	NA	\$15,609.69	\$15,609.69	\$14,073.17
Other Chapter 7 Administrative Expenses - AMERICAN EXPRESS - DATAMARK	2990-000	NA	\$935.10	\$935.10	\$935.10
Other Chapter 7 Administrative Expenses - BANK OF AMERICA	2990-000	NA	\$394.31	\$394.31	\$394.31
Other Chapter 7 Administrative Expenses - CALIFORNIA BANK & TRUST	2990-000	NA	\$884.00	\$884.00	\$884.00
Other Chapter 7 Administrative Expenses - CAMPAIGN LA	2990-000	NA	\$3,184.32	\$3,184.32	\$3,184.32
Other Chapter 7 Administrative Expenses - CLICKS	2990-000	NA	\$1,897.75	\$1,897.75	\$1,897.75
Other Chapter 7 Administrative Expenses - CLICKS DOCUMENT MANAGEMENT	2990-000	NA	\$8,902.32	\$8,902.32	\$8,902.32
Other Chapter 7 Administrative Expenses - DAVID M. BUNZEL	2990-000	NA	\$660.50	\$660.50	\$660.50
Other Chapter 7 Administrative Expenses - EAST WEST BANK	2990-000	NA	\$161.54	\$161.54	\$161.54
Other Chapter 7 Administrative Expenses - INDEPENDENT MANAGEMENT SERVICES	2990-000	NA	\$626.00	\$626.00	\$626.00
Other Chapter 7 Administrative Expenses - LIVE OFFICE LLC	2990-000	NA	\$5,825.00	\$5,825.00	\$5,825.00
Other Chapter 7 Administrative Expenses - NETWORK DEPOSITION SERVICES, INC.	2990-000	NA	\$1,529.25	\$1,529.25	\$1,529.25
Other Chapter 7 Administrative Expenses - THIRD PARTY SERVICES	2990-000	NA	\$535.00	\$535.00	\$535.00
Special Counsel for Trustee Fees - BAKER & HOSTETLER, LLP	3210-600	NA	\$41,502.50	\$41,502.50	\$41,502.50
Special Counsel for Trustee Fees - ASHBY & GEDDES, P.A.	3210-600	NA	\$294,859.18	\$294,859.18	\$294,859.18
Special Counsel for Trustee Fees - BAKER & HOSTETLER LLP	3210-600	NA	\$1,069,615.00	\$1,069,615.00	\$964,328.95
Special Counsel for Trustee Fees - JEFFER MANGELS BUTLER & MITCHELL LLP	3210-600	NA	\$10,000.00	\$10,000.00	\$10,000.00
Special Counsel for Trustee Expenses - ASHBY & GEDDES, P.A.	3220-610	NA	\$37,922.52	\$37,922.52	\$37,922.52
Special Counsel for Trustee Expenses - BAKER & HOSTETLER LLP	3220-610	NA	\$36,261.88	\$36,261.88	\$32,692.49
Accountant for Trustee Fees (Other Firm) - CROWE HORWATH LLP	3410-000	NA	\$15,655.50	\$15,655.50	\$14,781.92

Accountant for Trustee Fees (Other Firm) - HAHN FIFE & COMPANY LLP	3410-000	NA	\$14,841.00	\$14,841.00	\$13,380.15
Special Accountant for Trustee Fees - GLASSRATNER ADVISORY & CAPITAL GROUP LLC	3410-580	NA	\$31,925.00	\$31,925.00	\$30,143.58
Accountant for Trustee Expenses (Other Firm) - CROWE HORWATH LLP	3420-000	NA	\$0.00	\$0.00	\$0.00
Accountant for Trustee Expenses (Other Firm) - HAHN FIFE & COMPANY LLP	3420-000	NA	\$1,719.70	\$1,719.70	\$1,550.42
Special Accountant for Trustee Expenses - GLASSRATNER ADVISORY & CAPITAL GROUP LLC	3420-590	NA	\$317.60	\$317.60	\$317.60
Arbitrator/Mediator for Trustee Fees - JAMS	3721-000	NA	\$3,775.00	\$3,775.00	\$3,775.00
Arbitrator/Mediator for Trustee Fees - JAMS, INC.	3721-000	NA	\$4,200.00	\$4,200.00	\$4,200.00
Arbitrator/Mediator for Trustee Fees - PHILLIPS ADR	3721-000	NA	\$57,025.00	\$57,025.00	\$57,025.00
Arbitrator/Mediator for Trustee Fees - PHILLIPS ADR ENTERPRISES, P.C.	3721-000	NA	\$25,000.00	\$25,000.00	\$25,000.00
Consultant for Trustee Fees - GERY SADZEWICZ CONSULTING LLC	3731-000	NA	\$5,000.00	\$5,000.00	\$5,000.00
Financial Consultant for Trustee Fees - ERNST & YOUNG LLP	3731-420	NA	\$527,865.00	\$527,865.00	\$475,905.35
Financial Consultant for Trustee Expenses - ERNST & YOUNG LLP	3732-430	NA	\$19,656.43	\$19,656.43	\$19,656.43
Other Professional's Fees - D. MASIN CONSULTING, LLC	3991-000	NA	\$600.00	\$600.00	\$600.00
Other Professional's Fees - ELIZABETH WELLS	3991-000	NA	\$1,995.00	\$1,995.00	\$1,995.00
Other Professional's Fees - EZRA BRUTZKUS GUBNER LLP	3991-000	NA	\$10,000.00	\$10,000.00	\$10,000.00
Other Professional's Fees - WESTERN RESERVE VALUATION SERVICES LLC	3991-000	NA	\$27,500.00	\$27,500.00	\$27,500.00
<b>TOTAL CHAPTER 7 ADMIN. FEES AND CHARGES</b>		NA	<b>\$3,205,759.96</b>	<b>\$3,205,759.96</b>	<b>\$2,978,580.47</b>

**EXHIBIT 5 – PRIOR CHAPTER ADMINISTRATIVE FEES and CHARGES**

PAYEE	UNIFORM TRAN. CODE	CLAIMS SCHEDULED	CLAIMS ASSERTED	CLAIMS ALLOWED	CLAIMS PAID
Prior Chapter Accountant for Trustee/DIP Expenses (Other Firm) - AVANT ADVISORY GROUP	6420-000	NA	\$12,496.16	\$12,496.16	\$0.00
Special Counsel Expenses (Chapter 11) - BAKER & HOSTETLER LLP	6220-610	NA	\$4,862.55	\$4,862.55	\$0.00
Accountant for Creditor's Committee Expenses (Chapter 11) - BRANDLIN & ASSOCIATES	6710-110	NA	\$346.35	\$346.35	\$0.00
Special Accountant Expenses (Chapter 11) - ERNST & YOUNG	6420-590	NA	\$12,731.82	\$12,731.82	\$0.00
Prior Chapter Accountant for Trustee/DIP Expenses (Other Firm) - GREENBERG GLUSKER FIELDS CLAMAN MACTINGER LLP	6420-000	NA	\$4,223.57	\$4,223.57	\$0.00
Attorney for Creditor's Committee Expenses (Chapter 11) - PACHULSKI STANG ZIEHL & JONES LLP	6710-150	NA	\$3,479.81	\$3,479.81	\$0.00
Prior Chapter Accountant for Trustee/DIP Fees (Other Firm) - AVANT ADVISORY GROUP	6410-000	NA	\$80,114.00	\$80,114.00	\$0.00
Special Counsel Fees (Chapter 11) - BAKER & HOSTETLER LLP	6210-600	NA	\$121,129.50	\$121,129.50	\$0.00
Accountant for Creditor's Committee Fees (Chapter 11) - BRANDLIN & ASSOCIATES	6700-100	NA	\$25,000.00	\$25,000.00	\$0.00
Special Accountant Fees (Chapter 11) - ERNST & YOUNG	6410-580	NA	\$449,505.00	\$449,505.00	\$0.00
Prior Chapter Attorney for Trustee/DIP Fees (Other Firm) - GREENBERG GLUSKER FIELDS CLAMAN MACTINGER LLP	6210-000	NA	\$310,158.50	\$310,158.50	\$0.00
Attorney for Creditor's Committee Fees (Chapter 11) - PACHULSKI STANG ZIEHL & JONES LLP	6700-140	NA	\$119,927.50	\$119,927.50	\$0.00
<b>TOTAL PRIOR CHAPTER ADMIN. FEES AND CHARGES</b>		<b>\$0.00</b>	<b>\$1,143,974.76</b>	<b>\$1,143,974.76</b>	<b>\$0.00</b>

**EXHIBIT 6 – PRIORITY UNSECURED CLAIMS**

CLAIM NO.	CLAIMANT	UNIFORM TRAN. CODE	CLAIMS SCHEDULED (from Form 6E)	CLAIMS ASSERTED (from Proofs of Claim)	CLAIMS ALLOWED	CLAIMS PAID
7	Fiserv Inc.	5800-000	\$0.00	\$21,619.40	\$21,619.40	\$0.00
9	Internal Revenue Service	5800-000	\$0.00	\$8,658,507.71	\$8,658,507.71	\$0.00
17	Advent Software, Inc.	5800-000	\$0.00	\$348,809.11	\$348,809.11	\$0.00
18	Telemet America, Inc.	5800-000	\$0.00	\$4,577.38	\$4,577.38	\$0.00
20	Los Angeles County Treasurer and Tax Collector	5800-000	\$0.00	\$23,451.46	\$23,451.46	\$0.00
21	Alyssa Kennedy	5800-000	\$0.00	\$4,000.00	\$4,000.00	\$0.00
24	FRANCHISE TAX BOARD	5800-000	\$0.00	\$3,509,535.96	\$0.00	\$0.00
49	Peter J Eichler, Jr.	5800-000	\$0.00	\$535,313.00	\$535,313.00	\$0.00
51	David Bunzel	5800-000	\$0.00	\$11,725.00	\$11,725.00	\$0.00
56	Alyssa Kennedy	5800-000	\$0.00	\$986.98	\$986.98	\$0.00
<b>TOTAL PRIORITY UNSECURED CLAIMS</b>			<b>\$0.00</b>	<b>\$13,118,526.00</b>	<b>\$9,608,990.04</b>	<b>\$0.00</b>

**EXHIBIT 7 – GENERAL UNSECURED CLAIMS**

CLAIM NO.	CLAIMANT	UNIFORM TRAN. CODE	CLAIMS SCHEDULED (from Form 6F)	CLAIMS ASSERTED (from Proofs of Claim)	CLAIMS ALLOWED	CLAIMS PAID
1	Bingham McCutchen LLP	7100-000	\$0.00	\$745,617.49	\$745,617.49	\$0.00
2	Daimler Trust	7100-000	\$0.00	\$54,068.85	\$54,068.85	\$0.00
3	Ashland Partners & Co., LLP	7100-000	\$0.00	\$28,600.00	\$28,600.00	\$0.00
4	New York State Department of	7100-000	\$0.00	\$1,020.99	\$1,020.99	\$0.00
5	American Express Bank, FSB	7100-000	\$0.00	\$3,753.62	\$3,753.62	\$0.00
6	Xerox Corporation	7100-000	\$0.00	\$8,409.62	\$8,409.62	\$0.00
8	FFVA Mutual Insurance Co.	7100-000	\$0.00	\$12,494.70	\$12,494.70	\$0.00
9A	Internal Revenue Service	7100-000	\$0.00	\$4,288,189.00	\$4,288,189.00	\$0.00
10	State of New York	7100-000	\$0.00	\$38.25	\$38.25	\$0.00
11	Global Crossing Telecommunications, Inc.	7100-000	\$0.00	\$3,738.02	\$3,738.02	\$0.00
12	New York State Department of	7100-000	\$0.00	\$1,020.99	\$1,020.99	\$0.00
13	Arch-Metron	7100-000	\$0.00	\$128,800.00	\$128,800.00	\$0.00
14	FTI Consulting, Inc.	7100-000	\$0.00	\$208,984.39	\$208,984.39	\$0.00
15	Jones Day LLP	7100-000	\$0.00	\$339,495.01	\$339,495.01	\$0.00
16	American Express Bank, FSB	7100-000	\$0.00	\$49.95	\$49.95	\$0.00
17A	Advent Software, Inc.	7100-000	\$0.00	\$121,020.78	\$121,020.78	\$0.00
22	Bloomberg	7100-000	\$0.00	\$37,140.56	\$37,140.56	\$0.00

23	Thomas Reuters (Markets) LLC	7100-000	\$0.00	\$239,755.62	\$239,755.62	\$0.00
24A	FRANCHISE TAX BOARD	7100-000	\$0.00	\$955,903.54	\$955,903.54	\$0.00
25	Fiserv Investment Solutions, Inc. as successor-in-	7100-000	\$0.00	\$34,636.78	\$34,636.78	\$0.00
26	Cushman & Wakefield of Texas Inc	7100-000	\$0.00	\$43,361.32	\$43,361.32	\$0.00
27	Accountemps Div of Robert Half Intl	7100-000	\$0.00	\$4,607.78	\$4,607.78	\$0.00
28	U. S. Securities and Exchange Commission	7100-000	\$0.00	\$0.00	\$0.00	\$0.00
29	Xerox Corporation	7100-000	\$0.00	\$45,726.92	\$45,726.92	\$0.00
30	Insurance Company of Pittsburgh,	7100-000	\$0.00	\$0.00	\$0.00	\$0.00
31	FFVA Mutual	7100-000	\$0.00	\$12,494.70	\$12,494.70	\$0.00
32	New York State Department of	7100-000	\$0.00	\$0.00	\$0.00	\$0.00
33	Stepherdson Family Trust	7100-000	\$0.00	\$265,595.00	\$265,595.00	\$0.00
34	Allen & Overy LLP	7100-000	\$0.00	\$3,830.00	\$3,830.00	\$0.00
35	Allen & Overy LLP	7100-000	\$0.00	\$3,830.00	\$3,830.00	\$0.00
36	Dow Jones & Co. Inc	7100-000	\$0.00	\$32,217.00	\$32,217.00	\$0.00
37	Lion Capital (Americas) Inc.	7100-000	\$0.00	\$36,500.00	\$36,500.00	\$0.00
38	NGAM Advisors, LP	7100-000	\$0.00	\$67,216.00	\$67,216.00	\$0.00
39	Douglas Emmett, Inc.	7100-000	\$0.00	\$967,945.03	\$967,945.03	\$0.00
40	Stroock & Stroock & Lavan LLP	7100-000	\$0.00	\$135,013.85	\$135,013.85	\$0.00
41	Bruce Lee	7100-000	\$0.00	\$176,873.02	\$176,873.02	\$0.00
42	Pegasus Squire, Inc.	7100-000	\$0.00	\$10,200.00	\$10,200.00	\$0.00

43	Pegasus Squire, Inc.	7100-000	\$0.00	\$10,200.00	\$10,200.00	\$0.00
44a	Iron Mountain Information Management, Inc.	7100-000	\$0.00	\$6,921.37	\$0.00	\$0.00
45	Nossaman LLP	7100-000	\$0.00	\$144,048.92	\$144,048.92	\$0.00
46	Federal Insurance Company	7100-000	\$0.00	\$5,000,000.00	\$5,000,000.00	\$0.00
47	Options Price Reporting Auth.	7100-000	\$0.00	\$1,977.00	\$1,977.00	\$0.00
48	State of New York	7100-000	\$0.00	\$786.61	\$786.61	\$0.00
49a	Peter J Eichler, Jr.	7100-000	\$0.00	\$500,191.67	\$500,191.67	\$0.00
50	Irvine Capital Partners Liquidating Trust	7100-000	\$0.00	\$8,616,000.00	\$8,616,000.00	\$0.00
51a	David Bunzel	7100-000	\$0.00	\$1,165,823.80	\$1,165,823.80	\$0.00
52	Eleanor F Werra 1998 Revocable Trust	7100-000	\$0.00	\$733.53	\$733.53	\$0.00
53	Pleasant T. Rowland Revocable Trust	7100-000	\$0.00	\$11,832.66	\$11,832.66	\$0.00
54	W. Jerome Frautschi Revocable Trust	7100-000	\$0.00	\$4,819.66	\$4,819.66	\$0.00
55	Pleasant T. Rowland Revocable Trust	7100-000	\$0.00	\$1,518.94	\$1,518.94	\$0.00
57	Client Server Specialists, Inc (CSSI)	7100-000	\$0.00	\$9,930.69	\$9,930.69	\$0.00
58	Bridgestone Americas Inc (BSAM)	7100-000	\$0.00	\$25,685.06	\$25,685.06	\$0.00
59	Roger B Peikin	7200-000	\$0.00	\$2,919,603.39	\$2,919,603.39	\$0.00
60	Interactive Data	7200-000	\$0.00	\$6,245.56	\$6,245.56	\$0.00
61	MAILFINANCE	7200-000	\$0.00	\$11,110.82	\$11,110.82	\$0.00
63	American Express Bank FSB	7200-000	\$0.00	\$85,000.00	\$85,000.00	\$0.00
64	Roger B Peikin	7200-000	\$0.00	\$1,000.00	\$1,000.00	\$0.00

65	Dr. William C.W. Mow and Nai Li Mow	7200-000	\$0.00	\$5,500,000.00	\$5,500,000.00	\$0.00
	<b>TOTAL GENERAL UNSECURED CLAIMS</b>		<b>\$0.00</b>	<b>\$33,041,578.46</b>	<b>\$33,034,657.09</b>	<b>\$0.00</b>

**Form 1****Individual Estate Property Record and Report  
Asset Cases**Exhibit 8  
Page: 1**Case No.:** 2:12-47718- BR**Trustee Name:** (002360) Jeffrey I. Golden, Trustee**Case Name:** ALETHEIA RESEARCH AND MANAGEMENT, I**Date Filed (f) or Converted (c):** 03/29/2013 (c)**For Period Ending:** 07/22/2025**§ 341(a) Meeting Date:** 05/06/2013**Claims Bar Date:** 08/05/2013

Ref. #	1 Asset Description (Scheduled And Unscheduled (u) Property)	2 Petition/ Unscheduled Values	3 Estimated Net Value (Value Determined By Trustee, Less Liens, Exemptions, and Other Costs)	4 Property Formally Abandoned OA=§554(a) abandon.	5 Sale/Funds Received by the Estate	6 Asset Fully Administered (FA)/ Gross Value of Remaining Assets
1	CALIFORNIA BANK AND TRUST ACCT. NO. 6570 (BALANCE AS OF 11/11/2012)  Funds dissipated since petition, no value at conversion.	193,463.59	193,463.59		0.00	FA
2	NATIONAL FINANCIAL SERVICES LLC INVESTMENT ACCOUNT KAA #####19 (BALANCE AS OF 10/31/2012)  Funds dissipated since petition, no value at conversion.	13,174.00	13,174.00		0.00	FA
3	BANK OF AMERICA - OPERATING (ACCOUNT NO. 2852) (BALANCE AS OF 11/11/2012)  Recovered funds existing at time of conversion, balance dissipated.	10,268.86	10,268.86		7,460.82	FA
4	NATIONAL FINANCIAL SERVICES, LLC INVESTMENT ACCOUNT (KAA-#####36) (BALANCE AS OF 10/31/2012)  Funds dissipated during 11, no funds remaining at conversion.	3,793.78	3,793.78		0.00	FA
5	NATIONAL FINANCIAL SERVICES, LLC INVESTMENT ACCOUNT (KAA-#####89) (BALANCE AS OF 10/31/2012)  Investment value increased.	2,544.22	2,544.22		112,220.56	FA
6	BANK OF AMERICA - PAYROLL ACCOUNT (ACC NO. 2889) (BALANCE AS OF 10/31/2012)  Funds dissipated during 11, no value remaining.	2,290.02	2,290.02		0.00	FA
7	NATIONAL FINANCIAL SERVICES, LLC INVESTMENT ACCOUNT (K4D-#####51) (BALANCE AS OF 10/31/2012)  Funds dissipated during 11, no value remaining.	635.49	635.49		0.00	FA
8	BANK OF AMERICA - TAX ACCOUNT (ACC NO. 2890) (BALANCE AS OF 10/31/2012)  Funds dissipated during 11, no value remaining.	134.28	134.28		0.00	FA
9	LETTER OF CREDIT AT CALIFORNIA BANK & TRUST HELD FOR BENEFIT OF DOUGLAS EMMETT (BALANCE AS OF 10/31/2012)  Landlord deposit - set off - no value for estate.	373,458.32	373,458.32		0.00	FA
10	SECURITY DEPOSIT WITH DOUGLAS EMMETT  Landlord deposit - set off - no value for estate.	167,222.00	167,222.00		0.00	FA
11	ARTWORK FROM SUNDARAM TAGORE GALLERY  At conversion, analyzed no value with input from auctioneer.	164,625.00	164,625.00		0.00	FA
12	ARTWORK BY CHRISTOPHER GRIMES GALLERY LOCATION: 100 WILSHIRE BLVD. SUITE 1900, SANTA MONICA CA 90401  At conversion, analyzed no value with input from auctioneer.	10,473.75	10,473.75		0.00	FA

**Form 1****Individual Estate Property Record and Report  
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Ref. #	1 Asset Description (Scheduled And Unscheduled (u) Property)	2 Petition/ Unscheduled Values	3 Estimated Net Value (Value Determined By Trustee, Less Liens, Exemptions, and Other Costs)	4 Property Formally Abandoned OA=§554(a) abandon.	5 Sale/Funds Received by the Estate	6 Asset Fully Administered (FA)/ Gross Value of Remaining Assets
13	ARTWORK BY MIGUEL OSUNA LOCATION: 100 WILSHIRE BLVD. SUITE 1900, SANTA MONICA CA 90401  At conversion, analyzed no value with input from auctioneer.	9,000.00	9,000.00		0.00	FA
14	MISCELLANEOUS ARTWORK LOCATION: 100 WILSHIRE BLVD. SUITE 1900, SANTA MONICA CA 90401  see asset #43, items sold via online auction held thru 4/2/13. Auction confirmed all assets available for liquidation.	28,000.00	0.00		0.00	FA
15	EMPLOYER'S COMPENSATION INC - WORKER'S COMPENSATION  Analyzed policy, no value to the estate.	Unknown	0.00		0.00	FA
16	CNA INSURANCE COMPANY - GENERAL LIABILITY INSURANCE  Analyzed policy, no value to the estate.	Unknown	0.00		0.00	FA
17	THE HARTFORD - UMBRELLA LIABILITY POLICY  Analyzed policy, no value to the estate.	Unknown	0.00		0.00	FA
18	HOUSTON CASUALTY COMPANY - D&O POLICY  Analyzed policy, no value to the estate , counsel analyzed as well.	Unknown	0.00		0.00	FA
19	INVESTMENTS IN ALETHIA SECURITIES, INC.  Settled per order entered, confirmed all funds taken at conversion.	337,577.14	337,577.14		118,001.00	FA
20	INVESTMENTS IN BATEMAN EICHLER & CO LLC  No value to the investment.	2,484.82	2,484.82		0.00	FA
21	INVESTMENTS IN EMPYREAL INVESTMENTS, LLC [START UP COMPANY COSTS]  No value to the investments.	86,045.54	86,045.54		0.00	FA
22	MORIAH GROWTH FUND LP 111 W OCEAN BLVD, SUITE 1750 LONG BEACH CA 90802  Company experiencing volatile viability. Working with financial advisor to attempt to realize value but unlikely. We have been checking periodically and the investment turned out to not be worth anything as the company was not financially successful.	1,187,121.00	1,187,121.00		0.00	FA
23	INVESTMENTS IN ALETHEIA INSIDER INDEX, LP  SEC requested funds be managed and then liquidated. All funds identified and administered.	Unknown	0.00		269,550.23	FA
24	INVESTMENTS IN ALETHEIA INSIDER INDEX II, LP  SEC requested funds be managed and then liquidated. All funds identified administered.	Unknown	0.00		272,213.45	FA

**Form 1****Individual Estate Property Record and Report  
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25	MANAGEMENT FEES RECEIVABLE  All funds recovered.	755,222.97	755,222.97		12,449.97	FA
26	INTERCOMPANY RECEIVABLES FROM BATEMAN EICHLER & CO LLC  All funds recovered.	2,000.00	2,000.00		537.49	FA
27	MONEY LOANED TO ALETHEIA INSIDER INDEX FUNDS  Analyzed and dealt with through liquidation of index funds.	25,920.00	25,920.00		0.00	FA
28	ALETHEIA RESEARCH AND MANAGEMENT, INC., ET AL., V. PROCTOR INVESTMENT MANAGERS, LLC, ET AL. (CASE NO. 10-600397)  No value to litigation. Mediation refund recovered.	Unknown	1.00		6,522.50	FA
29	ALETHEIA RESEARCH AND MANAGEMENT, INC., ET AL., V. PROCTOR INVESTMENT MANAGERS, LLC, ET AL. (CASE NO. SC 106700.)  Analyzed claim with counsel and determined no value.	Unknown	0.00		0.00	FA
30	ALETHEIA RESEARCH AND MANAGEMENT, INC. V. HOUSTON CASUALTY COMPANY (CASE NO. 11- CV-03001 (ODW))  Analyzed claim with counsel and determined no value.	Unknown	0.00		0.00	FA
31	TRADEMARK "EMPYREAL" (SERIAL NUMBER 85/538768)  No value based on analysis with counsel.	Unknown	0.00		0.00	FA
32	TRADEMARK "ARAHIOS" (SERIAL NUMBER 85/680040)  No value based on analysis with counsel.	Unknown	0.00		0.00	FA
33	TRADEMARK "ALETHEIA" (SERIAL NUMBER 75/618729)  No value based on analysis with counsel.	Unknown	0.00		0.00	FA
34	TRADEMARK "BATEMAN EICHLER & CO." (SERIAL NUMBER 75/628354)  No value based on analysis with counsel.	Unknown	0.00		0.00	FA
35	TRADEMARK "ALETHEIA INSIDER INDEX" (SERIAL NUMBER 77/929570)  No value based on analysis with counsel.	Unknown	0.00		0.00	FA
36	TRADEMARK "ALETHEIA 100 INSIDER INDEX" (SERIAL NUMBER 77/676366)  No value based on analysis with counsel.	Unknown	0.00		0.00	FA
37	CUSTOMER LISTS  Analyzed and reviewed at time of conversion and determined no value.	Unknown	0.00		0.00	FA

**Form 1****Individual Estate Property Record and Report  
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38	COMPUTER EQUIPMENT  See asset #43, items sold via online auction held thru 4/2/13. Marshalled all items as of conversion.	809,936.47	809,936.47		0.00	FA
39	FURNITURE & FIXTURES  See asset #43, items sold via online auction held thru 4/2/13. Marshalled all items at time of conversion.	276,851.80	276,851.80		0.00	FA
40	LEASEHOLD IMPROVEMENTS  Assessed with brokers and financial advisor and determined no value at time of conversion.	Unknown	0.00		0.00	FA
41	2011 FORGIVABLE COMPENSATION ADVANCE TO PETER J. EICHLER JR. ON MARCH 4, 2011 \$300,000 OF ADVANCE WAS REIMBURSEMENT FOR SEC FINES PAID BY PETER J. EICHLER JR. APPROXIMATELY \$100,000 OF ADVANCE WAS INDEMNIFICATION FOR LEGAL FEES/EXPENSES PAID BY PETER J. EICHLER JR.  Analyzed with counsel and filed lawsuit, Eichler filed chapter 7. Uncollectible. No value.	1,679,861.60	1,679,861.60		0.00	FA
42	FORGIVABLE OFFICER LOAN TO MARK SCALZO ON JUNE 30, 2011  Settled following lawsuit. 9019 order entered 8/3/2015.	350,000.00	350,000.00		0.00	FA
43	PROCEEDS FROM ONLINE AUCTION HELD THRU 4/2/13  Auction approved by Court order entered 3/6/2013.	0.00	0.00		287,985.65	FA
44	TURNOVER OF FUNDS FROM CH. 11 CASE (u)  Consists of funds from Ch. 11 DIP accounts and funds received from management fees.	0.00	0.00		878,128.30	FA
45	AMEX REFUND (u)  Total funds available to the estate received.	0.00	0.00		208.85	FA
46	REBATE OF HEALTH INSURANCE PREMIUM REQUIRED BY THE AFFORDABLE CARE ACT (u)  Total funds available to the estate received.	0.00	0.00		3,637.94	FA
47	REFUND FROM PAYCHEX (u)  Total funds available to the estate received.	0.00	0.00		1,971.26	FA
48	RETAINER REFUND - GREENBERG TRAURIG PA (u)  Total funds available to the estate received.	0.00	22,118.29		22,118.29	FA
49	CH. 11 INDIVIDUAL BOND REFUND (u)  Total funds available to the estate received.	0.00	6,800.00		6,800.00	FA
50	FEDEX REFUND (u)  Invoice/Airbill # 208954790 - Reason for Refund: Reissue check for correct address.	0.00	345.94		345.94	FA

## Form 1

### Individual Estate Property Record and Report Asset Cases

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**Case No.:** 2:12-47718- BR

**Case Name:** ALETHEIA RESEARCH AND MANAGEMENT, I

**For Period Ending:** 07/22/2025

**Trustee Name:** (002360) Jeffrey I. Golden, Trustee

**Date Filed (f) or Converted (c):** 03/29/2013 (c)

**§ 341(a) Meeting Date:** 05/06/2013

**Claims Bar Date:** 08/05/2013

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51	POTENTIAL AVOIDANCE ACTIONS (u)  Based on litigation recoveries - investigations with counsel and financial advisor.	0.00	1,000,000.00		998,283.65	FA
52	O'MELVENY MALPRACTICE ACTION/FRAUDULENT CONVEYANCE (u)	0.00	0.00		0.00	FA
53	AXIS INSURANCE LAWSUIT (u)  Litigation was pending. The value is an estimate. Policy limits are \$5,000,000 and we are seeking in excess of policy limits. Procedurally, there were cross appeals which needed to be resolved before trial could begin. Settlement discussions had been occurring periodically but a settlement was not realized. The Trustee lost on appeal.	0.00	2,500,000.00		0.00	FA
54	WIRE INADVERTENTLY ENTERED IN TES INTO THE INCORRECT CASE (u)  Deposit wired on 5/22/13 from Merrill Lynch and Co. Inc. in the amount of \$3,316.16. Wired into the incorrect account and corrected on Form 2 on 6/17/13.	0.00	0.00		0.00	FA
55	REFUND OF BOND PREMIUM (u)  Refund of bond premium. Premium cost per thousand was decreased retroactively to January 1, 2015.	0.00	0.00		144.57	FA
<b>55</b>	<b>Assets Totals (Excluding unknown values)</b>	<b>\$6,492,104.65</b>	<b>\$9,993,369.88</b>		<b>\$2,998,580.47</b>	<b>\$0.00</b>

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

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Case No.: 2:12-47718- BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

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### Major Activities Affecting Case Closing:

**FINAL REPORT:** The FTB filed its amended claim on December 4, 2024. The Court and the OUST will be paid in full on their Ch. 7 administrative claims. All other Ch. 7 administrative professionals and claimants to be paid pro rata. This case is now ready to be closed.

**P.E. 9/30/2024:** The Axis litigation was unsuccessful, and no settlement offers were made by the defense. The Estate's final tax returns have been filed with the taxing authorities and the Trustee is proceeding to submit his final report shortly as all assets have been administered. The Trustee has not objected to claims as there will not be any funds to distribute to unsecured creditors or to Chapter 11 administrative creditors. The Franchise Tax Board does need to file an amended claim and once filed, the Trustee will prepare his TFR. The Trustee is advised this should happen soon.

**Aletheia Insider Index I:** Additional attempts have been made to distribute the last supplement payment from the index account in the amount of \$15.05 to Vasilios Poulos MC PC Profit. A check was mailed out several times and after further investigation by the Trustee, it was determined that Mr. Poulos is deceased. The Trustee has concluded that he has no other option but to transfer these funds to the Debtor and close out the Aletheia Insider Index I account.

The Trustee anticipates submitting his Final Report to the OUST before February 28, 2025.

**P.E. 9/30/2023:** In the event Aletheia prevails on the appeal, it is expected that the case will be remanded for a jury trial, if it does not settle first. After the appellate Court rules, it is expected that settlement discussions would ensue.

Estimated damages sought in the initial trial (before the Court's rulings eliminate various categories) included (1) \$240,000 in defense costs incurred defending Aletheia and its Directors and Officers (D&Os) against the Proctor claim after the primary carrier Houston Casualty Company exhausted its limits paying defense costs ; (2) the \$21,775,000 stipulated settlement between myself and Proctor, and (3) damages resulting from the bankruptcy of Aletheia and the reduced value of Aletheia as a going business concern, which Aletheia's expert witness had estimated to be in the range of \$19-26 million. Thus, the total compensatory damages sought were in the range of \$40-48 million, and Aletheia also sought prejudgment interest, punitive damages, and attorneys' fees. That said, the Axis policy at issue had a \$5,000,000 policy limit, and recovery beyond that amount would require a finding of bad faith (beyond the mere breach of contract). In the event Aletheia prevails only on breach of contract and not on any bad faith findings, recovery would likely be limited to \$5,000,000, plus potentially some prejudgment interest for amounts Aletheia actually paid. A rough, conservative estimated valuation of the claim, according to legal counsel, would be in the seven figure range.

The Trustee filed his brief on August 26, 2022 and Axis filed its brief on December 14, 2022. The combined appellate reply brief was filed on February 14, 2023. The respondent's reply brief was filed on April 5, 2023. The Court had a question regarding the order of dismissal of the complaint and on August 31, 2023, both parties had to brief certain issues for the Court. The Court resolved them and the Trustee is currently waiting for final oral argument to be set which is expected soon. Settlement discussions have not produced any movement at this point but once oral argument is set, settlement discussions will commence again. Otherwise, once the Court rules the case should resolve relatively quickly.

Both Aletheia Insider Index I and II accounts have been closed with only one supplemental distribution check in the amount of \$15.05 turned over to and deposited into the Aletheia Research and Management account only after several attempts to contact the partner payee were unsuccessful.

The Trustee anticipates submitting his TFR to the Office of the US Trustee by June 30, 2024.

**P.E. 9/30/2022:** This case may be closed upon resolution of pending litigation discussed below. All other matters have been resolved as explained herein.

### AXIS

The remaining asset is the Axis lawsuit. My counsel and I have been diligently prosecuting litigation against Axis Surplus Insurance Company ("Axis"). This is a lawsuit between Aletheia and one of its insurance

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

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Case No.: 2:12-47718-BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

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carriers, Axis Surplus Insurance Company ("Axis") regarding Axis' denial of coverage for the underlying Proctor Claim, and the damages resulting therefrom. By way of background, this case was first filed by Axis against Aletheia in May 2012 (before Aletheia filed for bankruptcy), with the original Complaint seeking declaratory relief that the Proctor Claim was not covered under the excess insurance policy Axis sold to Aletheia (because, Axis argued, Aletheia was late in providing Axis notice of the Proctor lawsuit, in violation of the policy conditions). In response, Aletheia filed a Cross-Complaint against Axis alleging claims for breach of contract, declaratory relief and bad faith. On November 11, 2012, Aletheia filed for bankruptcy and a notice of bankruptcy was filed with the Superior Court. Although the automatic stay by virtue of the bankruptcy affected only Axis' Complaint against Aletheia, on November 21, 2012, the Court entered an order staying the entire action, including Aletheia's Cross-Complaint. The Court then held status conferences for updates on the bankruptcy proceeding, while the coverage case remained stayed. On May 17, 2017, the Court issued an order to show cause, via minute order, regarding why the matter should not be dismissed for failure to prosecute within five years. In connection with that order to show cause, it appears that Axis' counsel misrepresented to the judge (who had replaced prior judge that issued the stay in 2012) the extent and scope of the stay in an effort to have the case dismissed for lack of prosecution, even though it had been stayed.

The Trustee retained Brutzkus Gubner ("BG") to take over the case on a contingency basis. On September 6, 2017, the Court vacated the order to show cause and lifted the stay as to Aletheia's Cross-Complaint only (but not as to Axis' Complaint which remained stayed by virtue of the bankruptcy), agreeing there was no basis to dismiss the case. Although Axis' original Complaint remained stayed, the issues raised in the Complaint were all subsumed in the Cross-Complaint, so the stay of the Complaint did not inhibit the litigation at that time. At various times throughout the case, Aletheia's counsel proposed that Axis move or stipulate to lift the stay as to its Complaint against Aletheia, but Axis would not agree to do so. In response to the Cross-Complaint, Axis filed a demurrer, arguing that there was no coverage for the underlying Proctor litigation and resulting settlement, because Aletheia failed to timely provide Axis with notice of the claim under the requirements of the policy. This was the sole basis for Axis' denial of coverage for the claim and it was believed that the outcome of the demurrer would help facilitate an early resolution of the litigation. Aletheia opposed the demurrer, and on September 6, 2017, the Court overruled the demurrer in its entirety and ordered Axis to answer the Cross-Complaint. The day before the hearing, the Court issued a detailed six page tentative ruling that adopted Aletheia's primary argument and found that the Axis policy was not a "claims made and reported policy" and therefore Axis would have to prove it was substantially prejudiced by the delayed notice in order to justify a denial of coverage based on that defense (which is a very difficult burden, likely impossible under these facts). During the hearing, Axis pleaded with the Court to strike the text from the tentative ruling and simply "overrule" the demurrer without further comment, because (Axis claimed) it would provide affidavits and other evidence at the summary judgment stage that would sway the Court's views on the interpretation of the policy. Over Aletheia's objections (in part because Axis' supposed introduction of extrinsic evidence in this manner was a legal impossibility), the Court acquiesced to Axis' request and simply "overruled" the demurrer without further official comment. Shortly after the demurrer was overruled, Aletheia issued a settlement demand to Axis and proposed, if the offer was unacceptable, that the parties attend mediation to try to resolve the case. Axis then represented to the Court in March 2018 that they would attend mediation only after certain discovery was completed. Over the next year and half, the parties conducted discovery and prepared the case for summary judgment and trial. Due to conflicting schedules and, later, health issues on the part of Axis' counsel, the trial was continued several times and eventually was set for February 25, 2019. On July 31, 2018 (two days before the Court's post-mediation status conference, when the parties were expected to complete discovery), the parties attended mediation before Hon. John Zebrowski, a retired Justice for the California Court of Appeal. The case did not settle.

On January 19, 2019, the Court heard the parties' cross motions for summary judgment/adjudication. As with the demurrer, the primary issue was Axis' contention that the policy it sold was a "claims made and reported policy" not subject to the notice-prejudice rule, and that Axis' denial of coverage based on late notice did not require Axis to prove it was prejudiced. Again, the Court rejected Axis' argument and denied the motion on that basis, and found issues of fact precluded all other issues raised in the motion.

Heading into trial, Aletheia was seeking three components of its compensatory damages (1) approximately \$240,000 in defense costs incurred defending Aletheia and its Directors and Officers (D&Os) against the Proctor claim after the primary carrier Houston Casualty Company exhausted its limits paying defense costs ; (2) the \$21,775,000 stipulated settlement between the Trustee and Proctor, and (3) damages resulting from the bankruptcy of Aletheia and the reduced value of Aletheia as a going business concern, which Aletheia's expert witness had estimated to be in the range of \$19-26 million. (Aletheia was also seeking other related

## Form 1

# Individual Estate Property Record and Report Asset Cases

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Case No.: 2:12-47718-BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

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recovery including prejudgment interest, attorneys' fees and punitive damages).

During the February 21, 2019 final status conference, the parties stipulated to a bifurcated trial proceeding with an initial bench trial phase to be held on the papers (a series of briefs, stipulated facts and certain exhibits, with no live testimony) to resolve a set of agreed-upon legal issues only (and no fact issues), and then a subsequent bench trial on the fact issues based on the framework laid down for legal issues at the bench trial. On April 2, 2019, following the aforementioned briefing, the Court held the bench trial, and issued its ruling on May 6, 2019. In the ruling, the Court made several critical errors including ruling that the \$21,775,000 in damages sought by Aletheia for the stipulated settlement with Proctor were not covered or recoverable as damages by Aletheia in this case, and that the \$240,000 in defense costs sought by Aletheia were not covered or recoverable as damages if they were jointly incurred for the defense of both Aletheia and its D&Os.

Following the bench trial, Aletheia filed a Petition for Writ of Mandate regarding the Court's ruling on the bench trial, raising a number of arguments including that the Court violated Aletheia's right to a jury trial on factual issues by resolving factual disputes at the bench trial and also that the Court made numerous mistakes of substantive insurance law. On August 16, 2019, the petition was denied with Court of Appeal stating that Aletheia "has an adequate remedy by way of appeal after entry of judgment". Thus, Aletheia proceeded to move forward with the jury trial, with the expectation of then later appealing the Court's rulings from the bench trial after entry of judgment. The parties attended a second mediation before mediator Bruce Friedman.

Over the next several months following that ruling, the parties negotiated potential avenues for how the case would proceed. After some time, the parties agreed that the jury trial phase would be a waste of resources (including the substantial costs for expert witnesses) and agreed that the most efficient course of action would be for the parties to stipulate to a judgment for the purpose of allowing an immediate appeal. The parties negotiated the terms of such a stipulation, expressly reserving their rights to appeal any legal issue in the case. Also, around this time, the case was twice reassigned to new judges, leading Aletheia each time to investigate whether the new judge would be amenable to reconsideration of the prior judge's rulings on the bench trial and on the motions in limine (and each time resulting in the determination that the new judge would not revisit those rulings and leaving Aletheia with no choice but to pursue the appeal).

The issue on appeal would be both (1) Aletheia's damages issue and (2) Axis' notice issue, so each party is seeking a determination from the appellate court before trial proceeds.

The Trustee had to seek approval from the Bankruptcy Court of the proposed course of action. Additionally, because Axis had never addressed its still-stayed original Complaint, the parties had to seek approval from the Bankruptcy Court to lift the stay on the Complaint so that it could be dismissed without prejudice as part of the stipulation to facilitate the appeal of the trial Court's rulings. A noticed motion was prepared and ultimately filed in the Bankruptcy Court. The Bankruptcy Court granted the motion, which (1) lift the stay as to Axis' original Complaint so it could be dismissed with prejudice; and (2) authorized the Trustee to enter into the stipulation to judgment on the Cross-Complaint to facilitate the appeal.

Following the Bankruptcy Court's approval, the parties revised the stipulation to reflect the developments in the Bankruptcy Court, and Axis' Complaint was dismissed without prejudice. Following a case management conference on May 13, 2021, the parties executed and signed the Stipulation with the Court. The Court approved the stipulation during a non-appearance review on June 8, 2021 but, for unknown reasons, did not serve the Notice of Entry of Judgment (which triggers the right to appeal). Thereafter the parties entered into a further stipulation to preserve the issue of costs until after the appeal.

Thereafter, Aletheia began preparing the case for appeal and designating the record to reflect the various materials the Court of Appeal would need to review in consideration of the appellate issues. On September 3, 2021, Aletheia filed its Notice of Appeal and related documents. Thereafter, on October 1, 2021, Axis filed its own Notice of Cross-Appeal (renewing its appeal of the trial Court's rulings on the late notice issue from the summary judgment phase), and its other related documents.

In the event Aletheia prevails on the appeal, it is expected that the case will be remanded for a jury trial.

As noted above, estimated damages sought in the initial trial (before the Court's rulings eliminate various

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

Exhibit 8  
Page: 9

Case No.: 2:12-47718-BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

For Period Ending: 07/22/2025

§ 341(a) Meeting Date: 05/06/2013

Claims Bar Date: 08/05/2013

categories) included (1) \$240,000 in defense costs incurred defending Aletheia and its Directors and Officers (D&Os) against the Proctor claim after the primary carrier Houston Casualty Company exhausted its limits paying defense costs ; (2) the \$21,775,000 stipulated settlement between the Trustee and Proctor, and (3) damages resulting from the bankruptcy of Aletheia and the reduced value of Aletheia as a going business concern, which Aletheia's expert witness had estimated to be in the range of \$19-26 million. Thus, the total compensatory damages sought were in the range of \$40-48 million, and Aletheia also sought prejudgment interest, punitive damages, and attorneys' fees. That said, the Axis policy at issue had a \$5,000,000 policy limit, and recovery beyond that amount would require a finding of bad faith (beyond the mere breach of contract). In the event Aletheia prevails only on breach of contract and not on any bad faith findings, recovery would likely be limited to \$5,000,000, plus potentially some prejudgment interest for amounts Aletheia actually paid. A rough, conservative estimated valuation of the claim, according to legal counsel, would be in the seven figure range.

The Axis litigation is currently on appeal before the California court of appeals. The Trustee has filed his brief and it is anticipated that Axis will file its brief December of this year. It is anticipated that the matter will be heard in the mid to latter part of 2023.

The Trustee is engaging in further settlement discussions and related strategy as well during this time period and discussing with counsel the making of a settlement offer to be presented shortly. It is the Trustee's hope to resolve this matter quickly to the extent possible.

### ABANDONMENT

The Trustee has abandoned all unnecessary personal property and records by motion for order of the Court entered on September 20, 2022.

### ALETHEIA INSIDER INDEX FUNDS

The Trustee has distributed the funds in the two index accounts to the investors for their final distribution per court order, after obtaining relevant information needed for and obtaining a court order to wind down the balance of their funds. Aletheia Insider Index I has approximately \$300 in the account made up of five partner distributions that never cleared. The Trustee is currently reaching out to the remaining five partners to have these funds cleared. Aletheia Insider Index II account has been zero balanced. Final tax returns including K-1's have been prepared and filed.

The Trustee anticipates submitting his TFR to the OUST by December 31, 2023.

P.E. 9/30/2021: In the last year, the Trustee has continued to pursue litigation and resolve the remaining issues of the estate. Once the remaining litigation against Axis is concluded, the estate may be closed.

### AXIS

This is a lawsuit between Aletheia and one of its insurance carriers, Axis Surplus Insurance Company ("Axis") regarding Axis' denial of coverage for the underlying Proctor Claim, and the damages resulting therefrom.

By way of background, this case was first filed by Axis against Aletheia in May 2012 (before Aletheia filed for bankruptcy), with the original Complaint seeking declaratory relief that the Proctor Claim was not covered under the excess insurance policy Axis sold to Aletheia (because, Axis argued, Aletheia was late in providing Axis notice of the Proctor lawsuit, in violation of the policy conditions). In response, Aletheia filed a Cross-Complaint against Axis alleging claims for breach of contract, declaratory relief and bad faith.

On November 11, 2012, Aletheia filed for bankruptcy and a notice of bankruptcy was filed with the Superior Court. Although the automatic stay by virtue of the bankruptcy affected only Axis' Complaint against Aletheia, on November 21, 2012, the Court entered an order staying the entire action, including Aletheia's Cross-Complaint. Over the next several years, the Court held status conferences for updates on the bankruptcy proceeding, while the coverage case remained stayed.

On May 17, 2017, the Court issued an order to show cause, via minute order, regarding why the matter should not be dismissed for failure to prosecute within five years. In connection with that order to show cause, it appears that Axis' counsel misrepresented to the judge (who had replaced prior judge that issued the stay in 2012) the extent and scope of the stay in an effort to have the case dismissed for lack of

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

Exhibit 8  
Page: 10

Case No.: 2:12-47718-BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

For Period Ending: 07/22/2025

§ 341(a) Meeting Date: 05/06/2013

Claims Bar Date: 08/05/2013

prosecution, even though it had been stayed.

I retained Brutzkus Gubner (“BG”) to take over the case on a contingency basis. On September 6, 2017, the Court vacated the order to show cause and lifted the stay as to Aletheia’s Cross-Complaint only (but not as to Axis’ Complaint which remained stayed by virtue of the bankruptcy), agreeing there was no basis to dismiss the case. Although Axis’ original Complaint remained stayed, the issues raised in the Complaint were all subsumed in the Cross-Complaint, so the stay of the Complaint did not inhibit the litigation at that time. At various times throughout the case, Aletheia’s counsel proposed that Axis move or stipulate to lift the stay as to its Complaint against Aletheia, but Axis would not agree to do so.

In response to the Cross-Complaint, Axis filed a demurrer, arguing that there was no coverage for the underlying Proctor litigation and resulting settlement, because Aletheia failed to timely provide Axis with notice of the claim under the requirements of the policy. This was the sole basis for Axis’ denial of coverage for the claim and it was believed that the outcome of the demurrer would help facilitate an early resolution of the litigation. Aletheia opposed the demurrer, and on September 6, 2017, the Court overruled the demurrer in its entirety and ordered Axis to answer the Cross-Complaint. The day before the hearing, the Court issued a detailed six page tentative ruling that adopted Aletheia’s primary argument and found that the Axis policy was not a “claims made and reported policy” and therefore Axis would have to prove it was substantially prejudiced by the delayed notice in order to justify a denial of coverage based on that defense (which is a very difficult burden, likely impossible under these facts). During the hearing, Axis pleaded with the Court to strike the text from the tentative ruling and simply “overrule” the demurrer without further comment, because (Axis claimed) it would provide affidavits and other evidence at the summary judgment stage that would sway the Court’s views on the interpretation of the policy. Over Aletheia’s objections (in part because Axis’ supposed introduction of extrinsic evidence in this manner was a legal impossibility), the Court acquiesced to Axis’ request and simply “overruled” the demurrer without further official comment.

Shortly after the demurrer was overruled, Aletheia issued a settlement demand to Axis and proposed, if the offer was unacceptable, that the parties attend mediation to try to resolve the case. Axis ignored the demand and the proposal. Axis then represented to the Court in March 2018 that they would attend mediation only after certain discovery was completed (which was curious because in the six months since the demurrer had been overruled, Axis had conducted no discovery).

Over the next year and half, the parties conducted discovery and prepared the case for summary judgment and trial. Due to conflicting schedules and, later, health issues on the part of Axis’ counsel, the trial was continued several times and eventually was set for February 25, 2019.

On July 31, 2018 (two days before the Court’s post-mediation status conference, when the parties were expected to complete discovery), the parties attended mediation before Hon. John Zebrowski, a retired Justice for the California Court of Appeal. The case did not settle and Axis never made any meaningful settlement proposals.

On January 19, 2019, the Court heard the parties’ cross motions for summary judgment/adjudication. As with the demurrer, the primary issue was Axis’ contention that the policy it sold was a “claims made and reported policy” not subject to the notice-prejudice rule, and that Axis’ denial of coverage based on late notice did not require Axis to prove it was prejudiced. Again, the Court rejected Axis’ argument and denied the motion on that basis, and found issues of fact precluded all other issues raised in the motion.

Axis filed a Petition for a Writ of Mandate challenging the summary judgment ruling, which the Court of Appeal promptly rejected stating “Any ambiguity or uncertainty in an insurance policy is to be resolved against the insurer.”

In the aftermath of the summary judgment victory, Aletheia again initiated settlement discussions with Axis to attempt to resolve the case, in particular because the “late notice” defense the Court had now rejected twice was the sole basis Axis had raised for denying the claim when it arose. However, the parties were not able to reach a settlement and continued to prepare for trial.

After losing twice on its late notice defense, Axis shifted its defense strategy to raise a litany of new defenses to the case, beyond the basis for its original denial of coverage. In fact, all of the new defenses were based on events that transpired after Axis had wrongly denied coverage and abandoned its insureds. Aletheia, and

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

Exhibit 8  
Page: 11

Case No.: 2:12-47718-BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

For Period Ending: 07/22/2025

§ 341(a) Meeting Date: 05/06/2013

Claims Bar Date: 08/05/2013

its counsel, quickly shifted the focus of the case to defeating these new defenses Axis had not previously pursued.

Heading into trial, Aletheia was seeking three components of its compensatory damages (1) approximately \$240,000 in defense costs incurred defending Aletheia and its Directors and Officers (D&Os) against the Proctor claim after the primary carrier Houston Casualty Company exhausted its limits paying defense costs ; (2) the \$21,775,000 stipulated settlement between the Trustee and Proctor, and (3) damages resulting from the bankruptcy of Aletheia and the reduced value of Aletheia as a going business concern, which Aletheia's expert witness had estimated to be in the range of \$19-26 million. (Aletheia was also seeking other related recovery including prejudgment interest, attorneys' fees and punitive damages).

Leading up to the trial, it became apparent that, notwithstanding the summary judgment ruling, there remained a litany of legal issues in dispute that would make the coming trial unmanageable, particularly in light of the new defense theories being raised by Axis. During the February 21, 2019 final status conference, the parties stipulated to a bifurcated trial proceeding with an initial bench trial phase to be held on the papers (a series of briefs, stipulated facts and certain exhibits, with no live testimony) to resolve a set of agreed-upon legal issues only (and no fact issues), and then a subsequent bench trial on the fact issues based on the framework laid down for legal issues at the bench trial. On April 2, 2019, following the aforementioned briefing, the Court held the bench trial, and issued its ruling on May 6, 2019. In the ruling, the Court made several critical errors including ruling that the \$21,775,000 in damages sought by Aletheia for the stipulated settlement with Proctor were not covered or recoverable as damages by Aletheia in this case, and that the \$240,000 in defense costs sought by Aletheia were not covered or recoverable as damages if they were jointly incurred for the defense of both Aletheia and its D&Os. The Court also made additional substantive mistakes with respect to issues of insurance law which would have made the jury trial phase more difficult, but it was the rulings on these two damages issues that were most damaging.

Following the bench trial, Aletheia filed a Petition for Writ of Mandate regarding the Court's ruling on the bench trial, raising a number of arguments including that the Court violated Aletheia's right to a jury trial on factual issues by resolving factual disputes at the bench trial and also that the Court made numerous mistakes of substantive insurance law. On August 16, 2019, the petition was denied with Court of Appeal stating that Aletheia "has an adequate remedy by way of appeal after entry of judgment". Thus, Aletheia proceeded to move forward with the jury trial, with the expectation of then later appealing the Court's rulings from the bench trial after entry of judgment.

The parties attended a second mediation before mediator Bruce Friedman in January 2020, but were unable to settle the case, although the parties continue to talk.

Thereafter, the parties prepared for the bench trial phase and attended the final status conference on February 21, 2020. At that hearing, the Court granted all of Axis' motions in limine, including ruling that Aletheia's claimed damages associated with the bankruptcy and the reduced value of Aletheia as a going business concern were not recoverable as damages in this case. By virtue of these rulings and the earlier rulings during the bench trial phase, the Court eliminated agreements regarding compensatory damages from recovery at the jury trial phase.

Over the next several months following that ruling, the parties negotiated potential avenues for how the case would proceed, insofar as the Court's rulings had deprived Aletheia of its ability to recover any damages, rendering a trial unnecessary. After some time, the parties agreed that the jury trial phase would be a waste of resources (including the substantial costs for expert witnesses) and agreed that the most efficient course of action would be for the parties to stipulate to a judgment to be entered against Aletheia on its Cross-Complaint for the purpose of allowing an immediate appeal. Over the next several months, the parties negotiated the terms of such a stipulation, expressly reserving their rights to appeal any legal issue in the case. Also around this time, the case was twice reassigned to new judges, leading Aletheia each time to investigate whether the new judge would be amenable to reconsideration of the prior judge's rulings on the bench trial and on the motions in limine (and each time resulting in the determination that the new judge would not revisit those rulings and leaving Aletheia with no choice but to pursue the appeal).

This issue on appeal would be Aletheia's damages issue and Axis' notice issue, so each party is seeking a determination from the appellate court before trial proceeds.

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

Exhibit 8  
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**Case No.:** 2:12-47718- BR

**Trustee Name:** (002360) Jeffrey I. Golden, Trustee

**Case Name:** ALETHEIA RESEARCH AND MANAGEMENT, I

**Date Filed (f) or Converted (c):** 03/29/2013 (c)

**For Period Ending:** 07/22/2025

**§ 341(a) Meeting Date:** 05/06/2013

**Claims Bar Date:** 08/05/2013

Also during this time, Aletheia initiated further settlement discussions with Axis to seek resolution of the case, and some settlement discussions have taken place.

Although the general parameters of the stipulation were agreed to in late 2020, it was determined that the before the stipulation could be executed and finalized, I had to seek approval from the Bankruptcy Court of the proposed course of action. Additionally, because Axis had never addressed its still-stayed original Complaint, the parties had to seek approval from the Bankruptcy Court to lift the stay on the Complaint so that it could be dismissed without prejudice as part of the stipulation to facilitate the appeal of the trial Court's rulings. A noticed motion was prepared and ultimately filed in the Bankruptcy Court on March 2, 2021. On April 5, 2021, the Bankruptcy Court granted the motion, which (1) lift the stay as to Axis' original Complaint so it could be dismissed with prejudice; and (2) authorized the Trustee to enter into the stipulation to judgment on the Cross-Complaint to facilitate the appeal.

Following the Bankruptcy Court's approval, the parties revised the stipulation to reflect the developments in the Bankruptcy Court, and Axis' Complaint was dismissed without prejudice. Following a case management conference on May 13, 2021, the parties executed and signed the Stipulation on May 26, 2021, and filed same with the Court on May 27, 2021. The Court approved the stipulation during a non-appearance review on June 8, 2021 but, for unknown reasons, did not serve the Notice of Entry of Judgment (which triggers the right to appeal) and related documents under July 19, 2021. Thereafter the parties entered into a further stipulation to preserve the issue of costs until after the appeal.

Thereafter, Aletheia began preparing the case for appeal and designating the record to reflect the various materials the Court of Appeal would need to review in consideration of the appellate issues. On September 3, 2021, Aletheia filed its Notice of Appeal and related documents. Thereafter, on October 1, 2021, Axis filed its own Notice of Cross-Appeal (renewing its appeal of the trial Court's rulings on the late notice issue from the summary judgment phase), and its other related documents.

The parties are now awaiting an order from the Court of Appeal setting a hearing and briefing schedule. It is anticipated that the appeal will be heard by the Court of Appeal sometime in late 2022 or early 2023, depending on the Court's schedule, but the parties won't know for sure until the initial scheduling order is issued.

In the event Aletheia prevails on the appeal, it is expected that the case will be remanded for a jury trial (and possibly further bench trial proceedings, insofar as the trial Court previously declined to rule on certain issues briefed in the first bench trial, finding they were rendered moot by other rulings now subject to appellate review).

The parties will also likely explore further mediation or settlement discussions based on the proceeding and outcome of the appeal.

As noted above, estimated damages sought in the initial trial (before the Court's rulings eliminate various categories) included (1) \$240,000 in defense costs incurred defending Aletheia and its Directors and Officers (D&Os) against the Proctor claim after the primary carrier Houston Casualty Company exhausted its limits paying defense costs ; (2) the \$21,775,000 stipulated settlement between the Trustee and Proctor, and (3) damages resulting from the bankruptcy of Aletheia and the reduced value of Aletheia as a going business concern, which Aletheia's expert witness had estimated to be in the range of \$19-26 million. Thus, the total compensatory damages sought were in the range of \$40-48 million, and Aletheia also sought prejudgment interest, punitive damages, and attorneys' fees. That said, the Axis policy at issue had a \$5,000,000 policy limit, and recovery beyond that amount would require a finding of bad faith (beyond the mere breach of contract). In the event Aletheia prevails only on breach of contract and not on any bad faith findings, recovery would likely be limited to \$5,000,000, plus potentially some prejudgment interest for amounts Aletheia actually paid. A rough, conservative estimated valuation of the claim, according to legal counsel, would be approximately \$2,000,000 to \$3,000,000 (however the case has significantly higher recovery potential depending on the outcome of the appeal and the remanded trial proceedings).

O'MELVENY, ET AL

The Trustee employed the Brutzkus Gubner Rozansky Seror Weber LLP ("BGRSW") on a contingency fee basis to pursue this matter. Ultimately, it was unsuccessful.

## Form 1

# Individual Estate Property Record and Report

## Asset Cases

Exhibit 8  
Page: 13

Case No.: 2:12-47718-BR

Trustee Name: (002360) Jeffrey I. Golden, Trustee

Case Name: ALETHEIA RESEARCH AND MANAGEMENT, I

Date Filed (f) or Converted (c): 03/29/2013 (c)

For Period Ending: 07/22/2025

§ 341(a) Meeting Date: 05/06/2013

Claims Bar Date: 08/05/2013

The Trustee filed a lawsuit as an adversary proceeding in the District Court as C.D.Cal. 2:14-CV-08725-CAS-AGR against four defendants, including O'Melveny & Myers LLP, and its partner Steven J. Olson, and its counsel J. Jorge deNeve (collectively, "O'Melveny"), and the law firm of Freedman +Taitelman, LLP ("Freedman"). There were prior settlements with some of the Defendants. The Lawsuit asserted five causes of action, two which sounded in breach of fiduciary duty and legal malpractice ("Legal Malpractice Claims"), and three causes of action for avoidance and recovery of transfers under the preference and fraudulent conveyance doctrines ("Bankruptcy Claims").

The factual circumstances arose from the actions and omissions of the Debtor's former attorneys for failing to recognize and properly advise the Debtor as to an actual conflict of interest, and for breach of fiduciary duty in the case of the two lawyers who for a time served as officers of the Debtor. That alleged conflict existed as to the attorneys' joint representation of the Debtor and the Debtor's former co-founder, CEO, and controlling shareholder Peter J. Eichler, Jr. ("Eichler"), in litigation involving a minority shareholder ("Proctor") where, in essence, Proctor was alleging that Eichler was "looting" the Debtor, including breaching his fiduciary duty to the Debtor and its shareholders by excessively compensating himself and related actions.

The trial in arbitration, the "evidentiary hearing," was conducted over a 12-day hearing conducted between November 5- 29, 2018. The evidentiary record consists of the testimony of 18 witnesses (12 live witnesses of whom four were percipient witnesses and eight were experts, and designated portions of deposition testimony of six additional percipient witnesses), and more than 1,200 documents admitted into evidence. After the evidentiary hearing, the parties provided post-hearing briefing, and oral closing argument was conducted on March 20, 2019. The Arbitrator denied the claims. A final award was issued (the "Final Award"). The District Court confirmed the arbitration award, (the "Order Confirming Award"). The Trustee timely appealed the Order Confirming Award. The Defendants filed a motion for summary judgment as to all of the claims alleged in the Lawsuit, including not only the Legal Malpractice Claims but also the Bankruptcy Claims (the "MSJ"). In essence, the Defendants argued that the Final Award had decided dispositive questions relevant to all of the claims. The Trustee opposed the MSJ on numerous grounds. In further support of the opposition to the Defendants' motion for summary judgment, the Trustee filed a motion to amend his original complaint to supplement the bankruptcy claims stated therein (the "Motion to Amend"). The Motion to Amend provided additional allegations supporting the Bankruptcy Claims. The District Court granted the MSJ and denied the Motion to Amend by its Judgment entered April 13, 2020 (the "MSJ Judgment").

The Trustee timely and separately appealed to the Ninth Circuit both the District Court's Order Confirming Award as well as the MSJ Judgment. The Ninth Circuit Court affirmed.

### ALETHEIA INSIDER INDEX FUNDS

The Trustee distributed the funds in the two index accounts to the investors for their final distribution per court order, after obtaining relevant information needed for and obtaining a court order to wind down the balance of their funds.

### SIGALOS 9019 MOTION

The Debtor is the sole shareholder of Aletheia Securities, Inc. ("Aletheia Securities"). Anthony Sigalos, as Trustee of the Anthony Sigalos Separate Property Trust U/A 8/30/1983 and as Trustee of the Sigalos Family Trust U/A 8/1/05 and on behalf of the NFS/FMTC Rollover IRA FBO Anthony Sigalos, and Diana Sigalos, individually and as Trustee of the Sigalos Family Trust U/A 8/1/05 (collectively, "Sigalos Entities"), have claims against Aletheia Securities that resulted in an arbitration award of \$868,681.16 ("Award"), plus certain costs. The Trustee negotiated a settlement with the Sigalos Entities that would pay the Sigalos Entities \$20,000 and free the remaining funds held by Aletheia Securities in order to pay other creditors or transfer such funds to the Debtor's Estate. On October 5, 2020, I filed a Motion for Order Pursuant to Federal Rule of Bankruptcy Procedure 9019 Approving Settlement Between myself and the Sigalos Entities ("Motion") and notice thereon. The Motion was approved by order entered October 30, 2020. Subsequently, the settlement was consummated.

The Trustee anticipates submitting his Final Report to the OUST by March 31, 2023.

## Form 2

Exhibit 9

Page: 1

## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
04/09/13	{47}	PAYCHEX	READYCHEX REFUND FROM PAYMENT MADE WHILE IN CH. 11	1290-000	1,971.26		1,971.26
04/18/13	{3}	BANK OF AMERICA	FUNDS FROM DIP ACCOUNT	1129-000	7,460.82		9,432.08
04/19/13	{43}	TIGER REMARKETING SERVICES	GROSS PROCEEDS FROM ONLINE AUCTION HELD THRU 4/2/13. OFFICE EQUIPMENT, FURNITURE, FIXTURES AND ARTWORK SOLD	1129-000	287,985.65		297,417.73
04/30/13		Integrity Bank	Bank Service Fee	2600-000		125.42	297,292.31
05/13/13	{25}	RICHARDSON GMP	QUARTERLY FEE PAYMENT - Q4 2012 RICHARDSON GMP LIMITED	1121-000	6,026.33		303,318.64
05/13/13	{44}	JEFFREY I. GOLDEN, CHAPTER 11 TRUSTEE	TRANSFER OF FUNDS FROM THE CH. 11 CASE	1290-010	865,404.79		1,168,723.43
05/13/13	{44}	JEFFREY I. GOLDEN, CHAPTER 11 TRUSTEE	TRANSFER OF FUNDS FROM THE CHAPTER 11 CASE	1290-010	9,415.44		1,178,138.87
05/22/13	{54}	MERRILL LYNCH AND CO., INC.	RE ML UNIFIED MANAGED ACCOUNT MANAGER PAYMENT	1280-000	3,316.16		1,181,455.03
05/31/13		Integrity Bank	Bank Service Fee	2600-000		1,304.15	1,180,150.88
06/17/13	{54}	DEP REVERSE: MERRILL LYNCH AND CO., INC.	inadvertently entered a wire in TES into the wrong account	1280-000	-3,316.16		1,176,834.72
06/19/13	{44}	JEFFREY I. GOLDEN, CHAPTER 11 TRUSTEE	TRANSFER OF FUNDS FROM THE CH. 11 CASE	1290-010	3,308.07		1,180,142.79
06/30/13		Integrity Bank	Bank Service Fee	2600-000		1,838.81	1,178,303.98
07/08/13	{45}	AMERICAN EXPRESS TRAVEL RELATED SERVICES	CREDIT BALANCE REFUND MADE OUT TO PETER J. EICHLER ALETHEIA RESEARCH AND MAILED TO ALETHEIA'S BUSINESS ADDRESS RECEIVED BY TRUSTEE ON 7/2/13	1290-000	208.85		1,178,512.83
07/09/13	1001	EAST WEST BANK	COST FOR COPIES OF BANK RECORDS PAID PER LBR 2016-2(a)(9)	2990-000		50.50	1,178,462.33
07/10/13	{46}	ANTHEM BLUE CROSS	REBATE OF HEALTH INSURANCE PREMIUM REQUIRED BY THE AFFORDABLE CARE ACT	1290-000	3,579.07		1,182,041.40
07/16/13	{48}	GREENBERG TRAURIG PA	RETAINER REFUND	1290-000	22,118.29		1,204,159.69
07/26/13	1002	ELIZABETH WELLS	APPRaisal FEE PAID PER COURT ORDER ENTERED 7/17/13	3991-000		1,995.00	1,202,164.69
07/26/13	1003	INTERNATIONAL SURETIES LTD.	BOND PREMIUM #016030866	2300-000		392.76	1,201,771.93
07/31/13		Integrity Bank	Bank Service Fee	2600-000		1,920.57	1,199,851.36
08/16/13	1004	CALIFORNIA BANK & TRUST	COST FOR COPIES OF BANK RECORDS PAID PER LBR 2016-2(a)(9)	2990-000		884.00	1,198,967.36
08/26/13	{25}	MORGAN STANLEY	ADVFEES - 01/25/13V CES IMS WK 01 25	1121-000	5,675.23		1,204,642.59
08/31/13		Integrity Bank	Bank Service Fee	2600-000		1,936.37	1,202,706.22
09/06/13	1005	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 1	3210-600		209,026.40	993,679.82

Page Subtotals: \$1,213,153.80 \$219,473.98

**Form 2****Exhibit 9**

Page: 2

**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
09/06/13	1006	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSESPAIRED @ 100% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 1	3220-610		10,774.29	982,905.53
09/09/13	{25}	JV LAND COMPANY	FEES OWED FOR THE PERIOD THROUGH JANUARY 15, 2013 WHEN TRADING OF ACCOUNT TERMINATED. JOHN VRABEL ACCT.	1121-000	27.67		982,933.20
09/17/13	{25}	HEMATOLOGY - ONCOLOGY MEDICAL GROUP OF FRESNO, INC.	Management Fee	1121-000	410.56		983,343.76
09/19/13	1007	CAMPAIGN LA	STIPULATED AMOUNT ASSOCIATED WITH AUCTION OF PROPERTY OF THE ESTATE PER COURT ORDER ENTERED 9/9/13	2990-000		3,184.32	980,159.44
09/20/13	{25}	CALIFORNIA UROLOGY MEDICAL GROUP	Management Fee	1121-000	300.00		980,459.44
09/20/13	{25}	MARIA E.F. SHIER	Management Fee KAA-300063	1121-000	10.18		980,469.62
09/30/13		Integrity Bank	Bank Service Fee	2600-000		1,638.11	978,831.51
10/02/13	1008	TIGER REMARKETING SERVICES	AUCTIONEER EXPENSES AND COMMISSIONS, ITEMIZED AS FOLLOWS: (A) \$53,602.71 FOR SALE EXPENSES; (B) \$34,379.03 FPR BUYERS' PREMIUMS, PAID PER COURT ORDER ENTERED 9/9/13	3610-000		87,981.74	890,849.77
10/09/13	1009	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 2	3210-600		54,094.00	836,755.77
10/09/13	1010	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSESPAIRED @ 100% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 2	3220-610		624.91	836,130.86
10/11/13	1011	ERNST & YOUNG LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 1	3731-420		178,260.00	657,870.86
10/11/13	1012	ERNST & YOUNG LLP	FINANCIAL ADVISOR TO TRUSTEE - EXPENSESPAIRED @ 100% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 1	3732-430		13,212.15	644,658.71
10/28/13	1013	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE FEESPER COURT ORDER ENTERED 10/28/13	3210-600		52,256.60	592,402.11
10/28/13	1014	WEILAND, GOLDEN, SMILEY, WANG EKVALL & STROK, LLP	ATTORNEY FOR TRUSTEE FEEPER COURT ORDER ENTERED 10/28/13	3110-000		45,180.00	547,222.11
10/28/13	1015	WEILAND, GOLDEN, SMILEY, WANG EKVALL & STROK, LLP	ATTORNEY FOR TRUSTEE EXPENSESPER COURT ORDER ENTERED 10/28/13	3120-000		32.40	547,189.71
10/31/13		Integrity Bank	Bank Service Fee	2600-000		1,457.44	545,732.27

Page Subtotals: \$748.41 \$448,695.96

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	INDEPENDENT BANK
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****7718 CHECKING ACCOUNT - CH.7
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
11/27/13	1016	CLICKS	DOCUMENT PRODUCTION EXPENSE PAID PER COURT ORDER ENTERED 11/26/13 CUSTOMER ID: 7014; INVOICE #7012188, W.O. # 1432TC; INVOICE #7012271, W.O. #1625TC; INVOICE #7012284, W.O. #830TC; INVOICE #7012324, W.O. #1610TC; INVOICE #7012362, W.O. #1500TC; INVOICE	2990-000		1,831.30	543,900.97
11/27/13	1017	AMERICAN EXPRESS - DATAMARK	DOCUMENT PRODUCTION EXPENSE PAID PER COURT ORDER ENTERED 11/26/13 FILE NO. 201307040	2990-000		935.10	542,965.87
11/27/13	1018	EAST WEST BANK	DOCUMENT PRODUCTION EXPENSE PAID PER COURT ORDER ENTERED 11/26/13 EWB FILE #: S-13-101-425	2990-000		111.04	542,854.83
11/27/13	1019	LIVE OFFICE LLC	DOCUMENT PRODUCTION EXPENSE PAID PER COURT ORDER ENTERED 11/26/13 INVOICE #INV00388170	2990-000		5,825.00	537,029.83
11/27/13	1020	NETWORK DEPOSITION SERVICES, INC.	DEPOSITION SERVICES - EXAMINATION OF PETER J. EICHLER, JR. ON 7/26/13 PAID PER COURT ORDER ENTERED 11/26/13 INVOICE #A1308180	2990-000		1,529.25	535,500.58
11/27/13	1021	BANK OF AMERICA	DOCUMENT PRODUCTION EXPENSE PAID PER COURT ORDER ENTERED 11/26/13 REF. #U070913000077	2990-000		222.86	535,277.72
11/30/13		Integrity Bank	Bank Service Fee	2600-000		977.73	534,299.99
12/23/13	1022	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 3	3210-600		41,604.40	492,695.59
12/23/13	1023	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 3	3220-610		364.09	492,331.50
12/23/13	1024	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 4	3210-600		49,426.80	442,904.70
12/23/13	1025	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 4	3220-610		262.73	442,641.97
12/27/13	1026	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL STATEMENT NO. 5 FOR THE MONTH OF NOVEMBER AND NOTICE OF ERRATA	3210-600		28,694.80	413,947.17

Page Subtotals: \$0.00 \$131,785.10

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
12/27/13	1027	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 5	3220-610		119.30	413,827.87
12/31/13		Integrity Bank	Bank Service Fee	2600-000		841.35	412,986.52
01/09/14	1028	INTERNATIONAL SURETIES LTD.	BOND #016030866	2300-000		565.31	412,421.21
01/17/14	{49}	GLOBAL SURETY, LLC	REFUND OF CH. 11 INDIVIDUAL BOND	1290-000	6,800.00		419,221.21
01/31/14		Integrity Bank	Bank Service Fee	2600-000		672.15	418,549.06
02/05/14	1029	INTERNATIONAL SURETIES LTD.	BOND PREMIUM #016030866	2300-000		100.51	418,448.55
02/11/14	{50}	FEDEX EXPRESS	Refund of check received 12/27/12.	1290-000	345.94		418,794.49
02/19/14	1030	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 2	3731-420		21,372.00	397,422.49
02/19/14	1031	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 3	3731-420		10,790.00	386,632.49
02/19/14	1032	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 4	3731-420		42,520.00	344,112.49
02/19/14	1033	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 5	3731-420		36,490.00	307,622.49
02/19/14	1034	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - EXPENSESPAIDED @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 5	3732-430		3,309.36	304,313.13
02/19/14	1035	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 6	3731-420		3,562.00	300,751.13
02/19/14	1036	ERNST & YOUNG, LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 7	3731-420		5,208.00	295,543.13
02/28/14		Integrity Bank	Bank Service Fee	2600-000		609.96	294,933.17
03/06/14	1037	US STORAGE CENTERS - ORANGE	STORAGE FEE; UNIT #A034; PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	294,724.67
03/07/14	1038	INDEPENDENT MANAGEMENT SERVICES	REIMBURSEMENT FOR W-2 & FINAL 2013 PAYROLL RETURNS DUE & PAID BY IMS 4/5/13 PAID PER COURT ORDER ENTERED 3/4/14	2990-000		252.00	294,472.67

Page Subtotals:      \$7,145.94      \$126,620.44

## Form 2

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
03/07/14	1039	INDEPENDENT MANAGEMENT SERVICES	REIMBURSEMENT FOR PAYMENT OF FEB, 2014 STORAGE FEE (INCLUDES LATE FEE) PAID PER COURT ORDER ENTERED 3/4/14	2410-000		217.93	294,254.74
03/07/14	1040	BANK OF AMERICA	DOCUMENT PRODUCTION; INVOICE #281133 PAID PER COURT ORDER ENTERED 3/4/14	2990-000		171.45	294,083.29
03/07/14	1041	CLICKS	DOCUMENT PRODUCTION; INVOICE #7012781; CUST. ID 7014; PAID PER COURT ORDER ENTERED 3/4/14	2990-000		66.45	294,016.84
03/07/14	1042	THIRD PARTY SERVICES	DOCUMENT PRODUCTION; INVOICE #L201315820; PAID PER COURT ORDER ENTERED 3/4/14	2990-000		535.00	293,481.84
03/07/14	1043	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID L3242; INV. #GX3119, #HDK1330, #HFF4939, #IKS4384, #HNK9399, #IUK2788, #HWP6875, #JBD9936; 4/30/2013 - 12/31/2013; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		11,247.64	282,234.20
03/07/14	1044	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #JVX9782, #JYT2485, #KCA9761; 1/1/2014 - 3/31/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		4,563.21	277,670.99
03/20/14	1045	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL STATEMENT NO. 6 FOR THE MONTH OF DECEMBER	3210-600		30,390.40	247,280.59
03/20/14	1046	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 6	3220-610		169.00	247,111.59
03/20/14	1047	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL STATEMENT NO. 7 FOR THE MONTH OF JANUARY	3210-600		22,869.60	224,241.99
03/20/14	1048	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 7	3220-610		171.50	224,070.49
03/27/14	1049	ERNST & YOUNG LLP	FINANCIAL ADVISOR TO TRUSTEE - FEES REMAINING 20% OF ALLOWED AMOUNT PER COURT ORDER ENTERED 3/26/14	3731-420		44,565.00	179,505.49
03/31/14		Integrity Bank	Bank Service Fee	2600-000		520.02	178,985.47
04/15/14	1050	INDEPENDENT MANAGEMENT SERVICES	REIMBURSEMENT FOR RELOCATING ARTWORK PAID PER COURT ORDER ENTERED 3/4/14	2990-000		374.00	178,611.47
04/16/14	1051	INDEPENDENT MANAGEMENT SERVICES	REIMBURSEMENT OF PAYMENT FOR APRIL, 2014 STORAGE UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	178,402.97

Page Subtotals: \$0.00 \$116,069.70

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	INDEPENDENT BANK
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****7718 CHECKING ACCOUNT - CH.7
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
04/21/14	1052	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KFA9635; 4/1/2014 - 4/30/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,394.15	177,008.82
04/23/14	1053	US STORAGE CENTERS - ORANGE	MAY, 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	176,800.32
04/30/14		Integrity Bank	Bank Service Fee	2600-000		311.10	176,489.22
05/13/14	1054	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 8; FEBRUARY, 2014	3210-600		39,414.40	137,074.82
05/13/14	1055	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 8; FEBRUARY, 2014	3220-610		303.76	136,771.06
05/13/14	1056	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 9; MARCH, 2014	3210-600		44,952.00	91,819.06
05/13/14	1057	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 9; MARCH, 2014	3220-610		305.27	91,513.79
05/19/14	1058	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KHR0146; 5/1/2014 - 5/31/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,479.44	90,034.35
05/31/14		Integrity Bank	Bank Service Fee	2600-000		226.54	89,807.81
06/10/14	1059	US STORAGE CENTERS - ORANGE	JUNE, 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	89,599.31
06/19/14	1060	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KKK1448; 6/1/2014 - 6/30/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,285.17	88,314.14
06/26/14	1061	US STORAGE CENTERS - ORANGE	JULY, 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	88,105.64
06/30/14		Integrity Bank	Bank Service Fee	2600-000		139.59	87,966.05
07/08/14	1062	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KMT6868; 7/1/2014 - 7/31/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,316.46	86,649.59
07/16/14	{28}	JAMS	REFUND RE ALETHEIA VS. PROCTOR INVESTMENT MANAGERS LLC ET AL. REFERENCE #####3234	1129-000	6,522.50		93,172.09
07/31/14		Integrity Bank	Bank Service Fee	2600-000		145.41	93,026.68
08/01/14	1063	US STORAGE CENTERS - ORANGE	AUG., 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	92,818.18

Page Subtotals: \$6,522.50 \$92,107.29

## Form 2

Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
08/12/14	1064	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KPX4921; 8/1/2014 - 8/31/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,316.46	91,501.72
08/31/14		Integrity Bank	Bank Service Fee	2600-000		148.79	91,352.93
09/05/14	1065	US STORAGE CENTERS - ORANGE	SEPT., 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	91,144.43
09/08/14	1066	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KTA6169; 9/1/2014 - 9/30/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,404.94	89,739.49
09/18/14	1067	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 10; APRIL, 2014	3210-600		36,245.60	53,493.89
09/18/14	1068	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 10; APRIL, 2014	3220-610		7,529.95	45,963.94
09/18/14	1069	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 11; MAY, 2014	3210-600		25,654.80	20,309.14
09/18/14	1070	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 11; MAY, 2014	3220-610		517.56	19,791.58
09/23/14	1071	US STORAGE CENTERS - ORANGE	OCT., 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	19,583.08
09/30/14		Integrity Bank	Bank Service Fee	2600-000		112.56	19,470.52
10/06/14	1072	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KUV7108; 10/1/2014 - 10/31/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,316.46	18,154.06
10/31/14		Integrity Bank	Bank Service Fee	2600-000		30.17	18,123.89
11/03/14	1073	US STORAGE CENTERS - ORANGE	NOV., 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	17,915.39
11/05/14	{46}	ANTHEM BLUE CROSS	REBATE OF HEALTH INSURANCE PREMIUM REQUIRED BY THE AFFORDABLE CARE ACT	1290-000	58.87		17,974.26
11/13/14	1074	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KXE1020; 11/1/2014 - 11/30/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,316.46	16,657.80
11/30/14		Integrity Bank	Bank Service Fee	2600-000		27.35	16,630.45
12/05/14	1075	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #KZD7125; 12/1/2014 - 12/31/14; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		1,316.46	15,313.99
12/05/14	1076	US STORAGE CENTERS - ORANGE	DEC., 2014 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/4/14	2410-000		208.50	15,105.49

Page Subtotals: \$58.87 \$77,771.56

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
12/08/14	{24}	JEFFREY I. GOLDEN	FUNDS FROM ALETHEIA INSIDER INDEX II, LP TO PAY COSTS/EXPENSES INSURED BY THE GENERAL PARTNER	1129-000	182,126.85		197,232.34
12/08/14	{23}	JEFFREY I. GOLDEN	FUNDS FROM ALETHEIA INSIDER INDEX II, LP TO PAY COSTS/EXPENSES INSURED BY THE GENERAL PARTNER	1129-000	182,126.85		379,359.19
12/09/14	1077	WESTERN RESERVE VALUATION SERVICES LLC	FEE FOR VALUATION REPORT PAID PER COURT ORDER ENTERED 10/14/14	3991-000		27,500.00	351,859.19
12/16/14	1078	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL TO TRUSTEE EXPENSES - PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT #1; JULY 31, 2014 THRU OCT. 31, 2014	3220-610		792.55	351,066.64
12/16/14	1079	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 12; JUNE, 2014	3210-600		16,496.00	334,570.64
12/16/14	1080	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 12; JUNE, 2014	3220-610		102.50	334,468.14
12/16/14	1081	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 13; JULY, 2014	3210-600		5,629.20	328,838.94
12/16/14	1082	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 13; JULY, 2014	3220-610		50.27	328,788.67
12/16/14	1083	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 14; AUGUST, 2014	3210-600		6,790.40	321,998.27
12/16/14	1084	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 14; AUGUST, 2014	3220-610		3.64	321,994.63
12/16/14	1085	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 15; SEPT., 2014	3210-600		17,329.20	304,665.43
12/16/14	1086	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 15; SEPT., 2014	3220-610		18.80	304,646.63
12/16/14	1087	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID @ 80% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 16; OCT., 2014	3210-600		12,536.00	292,110.63

Page Subtotals: \$364,253.70 \$87,248.56

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Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
12/16/14	1088	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT NO. 16; OCT., 2014	3220-610		226.43	291,884.20
12/31/14		Integrity Bank	Bank Service Fee	2600-000		410.39	291,473.81
01/05/15	1089	US STORAGE CENTERS - ORANGE	JAN., 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		208.50	291,265.31
01/07/15	1090	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LBF3455; 1/1/2015 - 1/31/15 PER COURT ORDER ENTERED 3/3/15	2410-000		1,316.46	289,948.85
01/08/15	1091	INTERNATIONAL SURETIES LTD.	Bond #016030866	2300-000		420.60	289,528.25
01/31/15		Integrity Bank	Bank Service Fee	2600-000		468.14	289,060.11
02/05/15	1092	US STORAGE CENTERS - ORANGE	FEB., 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		208.50	288,851.61
02/09/15	1093	WEILAND, GOLDEN, SMILEY, WANG-EKVALL, LLP	FORMER COUNSEL FOR TRUSTEE - FEEPAID PER COURT ORDER ENTERED 2/9/15	3110-000		205,922.00	82,929.61
02/09/15	1094	WEILAND, GOLDEN, SMILEY, WANG-EKVALL, LLP	FORMER COUNSEL FOR TRUSTEE - EXPENSESPAIDED PER COURT ORDER ENTERED 2/9/15	3120-000		1,625.13	81,304.48
02/09/15	1095	WEILAND GOLDEN LLP	COUNSEL FOR TRUSTEE - FEEPAID PER COURT ORDER ENTERED 2/9/15	3110-000		49,675.00	31,629.48
02/09/15	1096	WEILAND GOLDEN LLP	COUNSEL FOR TRUSTEE - EXPENSESPAIDED PER COURT ORDER ENTERED 2/9/15	3120-000		127.80	31,501.68
02/09/15	1097	CROWE HORWATH LLP	TAX CONSULTANT FOR TRUSTEE - FEEPAID PER COURT ORDER ENTERED 2/9/15	3410-000		8,008.00	23,493.68
02/10/15	1098	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LDK8219; 2/1/2015 - 2/28/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,316.46	22,177.22
02/18/15	1099	JAMS	1/2 OF MEDIATION FEES PAID PER COURT ORDER ENTERED 1/12/15	3721-000		3,775.00	18,402.22
02/28/15		Integrity Bank	Bank Service Fee	2600-000		162.59	18,239.63
03/04/15	1100	US STORAGE CENTERS - ORANGE	MARCH, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	18,015.13
03/06/15	1101	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LFN1053; 3/1/2015 - 3/31/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,316.46	16,698.67
03/20/15	{55}	GLOBAL SURETY, LLC	REFUND OF BOND PREMIUM PREMIUM COST PER THOUSAND WAS DECREASED FROM .80 TO .50 RETROACTIVELY TO JANUARY 1, 2015	1290-000	144.57		16,843.24

Page Subtotals: \$144.57 \$275,411.96

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
03/31/15		Integrity Bank	Bank Service Fee	2600-000		28.12	16,815.12
04/03/15	1102	US STORAGE CENTERS - ORANGE	APRIL, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	16,590.62
04/08/15	1103	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LHN2235; 4/1/2015 - 4/30/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,316.46	15,274.16
04/30/15		Integrity Bank	Bank Service Fee	2600-000		24.75	15,249.41
05/05/15	1104	US STORAGE CENTERS - ORANGE	May, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	15,024.91
05/19/15	1105	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LKR5282; 5/1/2015 - 5/31/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,326.10	13,698.81
05/31/15		Integrity Bank	Bank Service Fee	2600-000		24.14	13,674.67
06/02/15	1106	US STORAGE CENTERS - ORANGE	June, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	13,450.17
06/11/15	1107	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LML2837; 6/1/2015 - 6/30/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,316.46	12,133.71
06/25/15		Transfer From: *****7718	Transfer to pay special counsel, Ashby & Geddes, P.A. per Court order entered 10/14/14. Engagement letter provides that Ashby shall receive 31% of any recovery prior to commencement of trial. Cases: ABM Parking Services; LA Networks; Seeley Brothers;	9999-000	! 49,184.49		61,318.20
06/25/15	1108	ASHBY & GEDDES	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASES: ABM PARKING SERVICES: \$1,364.00 LA NETWORKS: \$6,200.00 SEELEY BROTHERS: \$3,720.00 ROBERT K. LEVIN AND MICHAEL LANEY: \$23,950.49 THOMSON REUTERS: \$13,950.00 FOR TOTAL OF: \$49,184.49	3210-600		49,184.49	12,133.71
06/26/15	1109	US STORAGE CENTERS - ORANGE	July, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	11,909.21
06/30/15		Integrity Bank	Bank Service Fee	2600-000		35.50	11,873.71
07/07/15	1110	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LRC7013; 7/1/2015 - 7/31/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	10,531.13

Page Subtotals: \$49,184.49 \$55,496.60

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
07/13/15		Transfer From: *****7718	Transfer to pay special counsel, Ashby & Geddes, P.A. per Court order entered 10/14/14. Engagement letter provides that Ashby shall receive 31% of any recovery prior to commencement of trial. Cases: American Express; Cushman Wakefield.	9999-000	! 28,520.00		39,051.13
07/13/15		Transfer From: *****7718	Transfer to pay special counsel, Ashby & Geddes, P.A. per Court order entered 10/14/14. Engagement letter provides that Ashby shall receive 31% of any recovery prior to commencement of trial. Cases: American Express; Cushman Wakefield.	9999-000	! 28,520.00		67,571.13
07/13/15	1111	ASHBY & GEDDES	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASES: AMERICAN EXPRESS: \$26,350.00 CUSHMAN WAKEFIELD: \$2,170	3210-600		28,520.00	39,051.13
07/13/15		Transfer To: *****7718	Transferred to checking account in error. Only needed one transfer of \$28,520.	9999-000		28,520.00	10,531.13
07/31/15		Integrity Bank	Bank Service Fee	2600-000		35.15	10,495.98
08/03/15	1112	INTERNATIONAL SURETIES LTD.	BOND #016030866	2300-000		22.12	10,473.86
08/04/15	1113	US STORAGE CENTERS - ORANGE	AUG, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	10,249.36
08/10/15	1114	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LTD8024; 8/1/2015 - 8/31/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	8,906.78
08/12/15		Transfer From: *****7718	Transfer to pay expenses to Ashby & Geddes per professional fee statements #2, #3 and #4	9999-000	! 8,226.47		17,133.25
08/12/15	1115	ASHBY & GEDDES	SPECIAL COUNSEL TO TRUSTEE EXPENSES - PAID @ 100% OF ALLOWED AMOUNT PER PROFESSIONAL FEE STATEMENT #2 NOV. 1, 2014 THRU NOV. 30, 2014; PROFESSIONAL FEE STATEMENT #3 DEC. 1, 2014 THRU DEC. 31, 2014; PROFESSIONAL FEE STATEMENT #4 JAN. 1, 2015 THRU MAR. 31, 2015; PAID PER COURT ORDER ENTERED 10/14/14	3220-610		8,226.47	8,906.78
08/31/15		Integrity Bank	Bank Service Fee	2600-000		18.18	8,888.60
09/04/15	1116	US STORAGE CENTERS - ORANGE	SEPT, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	8,664.10

Page Subtotals: \$65,266.47 \$67,133.50

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
09/04/15	1117	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LVE7134; 9/1/2015 - 9/30/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	7,321.52
09/30/15		Integrity Bank	Bank Service Fee	2600-000		12.16	7,309.36
10/01/15	1118	US STORAGE CENTERS - ORANGE	OCT, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	7,084.86
10/07/15		Transfer From: *****7718	Transfer of funds from Segregated Trust Account.	9999-000	! 179,353.69		186,438.55
10/07/15	1119	PHILLIPS ADR ENTERPRISES, P.C.	ONE-HALF RETAINER FEE FOR ARBITRATION GOLDEN V. O'MELVENY CLIENT #10613 INV. #11161	3721-000		25,000.00	161,438.55
10/08/15	1120	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PER EXPENSE STATEMENTS #2 THRU #5	3220-610		18,467.07	142,971.48
10/08/15	1121	JEFFER MANGELS BUTLER & MITCHELL LLP	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID PER COURT ORDER ENTERED 12/30/14	3210-600		10,000.00	132,971.48
10/08/15	1122	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LXN5100; 10/1/2015 - 10/31/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	131,628.90
10/09/15	1123	CLICKS DOCUMENT MANAGEMENT	DOCUMENT PRODUCTION; INVOICE #7014339 AND #7014354; CUST. ID 7014; PAID PER COURT ORDER ENTERED 3/3/15	2990-000		8,902.32	122,726.58
10/20/15	1124	EZRA BRUTZKUS GUBNER LLP	REIMBURSEMENT OF RETAINER PAID TO TRUSTEE'S EXPERT ON LEGAL ETHICS, ART MARGOLIS, ALETHEIA/O'MELVENY PAID PER COURT ORDER ENTERED 1/1/15	3991-000		10,000.00	112,726.58
10/27/15		ASHBY & GEDDES, P.A.	RETURN OF OVERPAYMENT RE CHECK NO. 1120	3220-610		-8,226.47	120,953.05
10/31/15		Integrity Bank	Bank Service Fee	2600-000		169.90	120,783.15
11/03/15	1125	US STORAGE CENTERS - ORANGE	NOV, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	120,558.65
11/09/15	1126	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #LZM6533; 11/1/2015 - 11/30/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	119,216.07
11/30/15		Integrity Bank	Bank Service Fee	2600-000		187.52	119,028.55
12/07/15	1127	US STORAGE CENTERS - ORANGE	DEC, 2015 STORAGE FEE; UNIT #A034; PAID PER COURT ORDER ENTERED 3/3/15	2410-000		224.50	118,804.05

Page Subtotals: \$179,353.69 \$69,213.74

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
12/11/15	1128	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MBN9611; 12/1/2015 - 12/31/2015 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	117,461.47
12/30/15	{24}	JEFFREY I. GOLDEN	FUNDS FROM ALETHEIA INSIDER INDEX II, LP REPRESENTING COSTS/EXPENSES INCURRED ON BEHALF OF THE FUNDS	1129-000	18,249.24		135,710.71
12/30/15	{23}	JEFFREY I. GOLDEN	FUNDS FROM ALETHEIA INSIDER INDEX I, LP REPRESENTING COSTS/EXPENSES INCURRED ON BEHALF OF THE FUNDS	1129-000	18,249.23		153,959.94
12/30/15	1129	ERNST & YOUNG LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 80% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 8	3731-420		5,052.00	148,907.94
12/30/15	1130	ERNST & YOUNG LLP	FINANCIAL ADVISOR TO TRUSTEE - FEESPAID @ 35.125825366% OF ALLOWED AMOUNT OF \$122,172.92PER PROFESSIONAL FEE STATEMENT NO. 9	3731-420		41,813.08	107,094.86
12/30/15	1131	ERNST & YOUNG LLP	FINANCIAL ADVISOR TO TRUSTEE - EXPENSESPAIID @ 100% OF ALLOWED AMOUNTPER PROFESSIONAL FEE STATEMENT NO. 9	3732-430		3,134.92	103,959.94
12/31/15		Integrity Bank	Bank Service Fee	2600-000		192.52	103,767.42
01/07/16	1132	US STORAGE CENTERS - ORANGE	JAN, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 3/3/15	2410-000		236.50	103,530.92
01/12/16	1133	INTERNATIONAL SURETIES LTD.	BOND #016030866	2300-000		274.71	103,256.21
01/13/16	1134	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MDT2584; 01/1/2016 - 01/31/2016 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	101,913.63
01/29/16	1135	US STORAGE CENTERS - ORANGE	FEB, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 3/3/15	2410-000		236.50	101,677.13
01/31/16		Integrity Bank	Bank Service Fee	2600-000		194.65	101,482.48
02/10/16	1136	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MGF1573; 02/1/2016 - 02/29/2016 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	100,139.90
02/19/16	{51}	WEBSTER BANK	1ST PAYMENT - SETTLEMENT WITH DAVID BUNZEL	1249-000	70,000.00		170,139.90
02/26/16		Transfer From: *****7718	Transfer funds to pay Ashby & Geddes their recovery fee of 31% of Settlements with American Heritage, Holthouse Carlin, Roger Peikin, Mark C. Scalzo and David Bunzel	9999-000	! 66,805.00		236,944.90

Page Subtotals: \$173,303.47 \$55,162.62

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/26/16	1137	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASES: AMERICAN HERITAGE LIFE: \$4,650 HOLTHOUSE CARLIN: \$7,440 ROGER PEIKIN: \$31,000 MARK C. SCALZO: \$2,015 DAVID BUNZEL: \$21,700	3210-600		66,805.00	170,139.90
02/26/16		Transfer To: *****7718	Transfer Funds received by David Bunzel to segregated account.	9999-000		70,000.00	100,139.90
02/29/16		Integrity Bank	Bank Service Fee	2600-000		181.14	99,958.76
03/02/16	1138	US STORAGE CENTERS - ORANGE	MAR, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 3/3/15	2410-000		252.50	99,706.26
03/09/16	1139	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MJK9946; 03/01/2016 - 03/31/2016 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	98,363.68
03/31/16		Integrity Bank	Bank Service Fee	2600-000		166.68	98,197.00
04/04/16	1140	US STORAGE CENTERS - ORANGE	APR, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 3/3/15	2410-000		252.50	97,944.50
04/08/16	1141	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MLT2183; 04/01/2016 - 04/30/2016 PER COURT ORDER ENTERED 3/3/15	2410-000		1,352.22	96,592.28
04/30/16		Integrity Bank	Bank Service Fee	2600-000		151.77	96,440.51
05/03/16	1142	US STORAGE CENTERS - ORANGE	MAY, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 3/3/15	2410-000		252.50	96,188.01
05/12/16	1143	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MNY1836; 05/01/2016 - 05/31/2016 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	94,845.43
05/12/16	1144	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PER EXPENSE STATEMENTS #6 AND #7	3220-610		12,820.89	82,024.54
05/31/16		Transfer From: *****7718	Transfer to pay Ashby & Geddes	9999-000	! 14,637.39		96,661.93
05/31/16	1145	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASE: DAVID BUNZEL	3210-600		11,366.46	85,295.47
05/31/16	1146	ASHBY & GEDDES, P.A.	Check issued prematurely Voided on 05/31/2016	3220-610		3,270.93	82,024.54

Page Subtotals: \$14,637.39 \$169,557.75

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Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
05/31/16	1146	ASHBY & GEDDES, P.A.	Check issued prematurely Voided: check issued on 05/31/2016	3220-610		-3,270.93	85,295.47
05/31/16		Integrity Bank	Bank Service Fee	2600-000		145.62	85,149.85
06/01/16		Transfer From: *****7718	Transfer to pay professional fees and expenses per Court order entered 5/31/16.	9999-000	! 200,000.00		285,149.85
06/01/16	1147	JEFFREY I. GOLDEN, TRUSTEE	TRUSTEE FEE - THIS PAYMENT REPRESENTS 80.07% OF THE ALLOWED AMOUNT PER COURT ORDER ENTERED 5/31/16	2100-000		73,109.78	212,040.07
06/01/16	1148	JEFFREY I GOLDEN	TRUSTEE EXPENSES - PAID AT 100% OF THE ALLOWED AMOUNT PER COURT ORDER ENTERED 5/31/16	2200-000		18,942.19	193,097.88
06/01/16	1149	LOBEL WEILAND GOLDEN FRIEDMAN LLP	ATTORNEY FOR TRUSTEE FEE - THIS PAYMENT BRINGS THE TOTAL PAID TO THIS PROFESSIONAL @ 80.07% OF ALL THE ALLOWED AMOUNTS; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3110-000		52,791.50	140,306.38
06/01/16	1150	LOBEL WEILAND GOLDEN FRIEDMAN LLP	ATTORNEY FOR TRUSTEE EXPENSES - THIS PAYMENT PREPRESENTS THE REMAINING UNPAID EXPENSES ALLOWED. THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3120-000		3,890.03	136,416.35
06/01/16	1151	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE FEE - THIS PAYMENT BRINGS THE TOTAL PAID TO THIS PROFESSIONAL @ 80.07% OF ALL THE ALLOWED AMOUNTS; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3210-600		45,628.58	90,787.77
06/01/16	1152	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE EXPENSES - THIS PAYMENT PREPRESENTS THE REMAINING UNPAID EXPENSES ALLOWED. THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3220-610		2,179.05	88,608.72
06/01/16	1153	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - THIS PAYMENT BRINGS THE TOTAL PAID TO THIS PROFESSIONAL @ 80.07% OF ALL THE ALLOWED AMOUNTS; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3731-420		33,049.74	55,558.98
06/01/16	1154	CROWE HORWATH LLP	TAX CONSULTANT FOR TRUSTEE FEE - THIS PAYMENT BRINGS THE TOTAL PAID TO THIS PROFESSIONAL @ 80.07% OF ALL THE ALLOWED AMOUNTS; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3410-000		4,527.96	51,031.02

Page Subtotals: \$200,000.00 \$230,993.52

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
06/01/16	1155	GLASSRATNER ADVISORY & CAPITAL GROUP LLC	FINANCIAL ADVISOR AND FORENSIC ACCOUNTANTS TO THE TRUSTEE FEE - THIS PAYMENT BRINGS THE TOTAL PAID TO THIS PROFESSIONAL @ 80.07% OF ALL THE ALLOWED AMOUNTS: THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3410-580		25,563.57	25,467.45
06/01/16	1156	GLASSRATNER ADVISORY & CAPITAL GROUP LLC	FINANCIAL ADVISOR & FORENSIC ACCOUNTANTS FOR TRUSTEE EXPENSES - PAID AT 100% OF THE ALLOWED AMOUNT PER COURT ORDER ENTERED 5/31/16	3420-590		317.60	25,149.85
06/06/16	1157	US STORAGE CENTERS - ORANGE	JUNE, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 3/3/15	2410-000		252.50	24,897.35
06/06/16	1158	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MSD8233; 06/01/2016 - 06/30/2016 PER COURT ORDER ENTERED 3/3/15	2410-000		1,342.58	23,554.77
06/30/16	1159	US STORAGE CENTERS - ORANGE	JULY, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	23,302.27
06/30/16		Integrity Bank	Bank Service Fee	2600-000		131.68	23,170.59
07/21/16	1160	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MUK3084; 07/01/2016 - 07/31/2016 PER COURT ORDER ENTERED 8/1/16	2410-000		1,373.87	21,796.72
07/31/16		Integrity Bank	Bank Service Fee	2600-000		37.10	21,759.62
08/02/16	1161	US STORAGE CENTERS - ORANGE	AUG, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	21,507.12
08/05/16	1162	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MWR7318; 08/01/2016 - 08/31/2016 PER COURT ORDER ENTERED 8/1/16	2410-000		1,384.60	20,122.52
08/16/16		Transfer From: *****7718	Transfer to pay Ashby & Geddes (Bunzel and Mow Settlements)	9999-000	! 78,533.33		98,655.85
08/16/16	1163	ASHBY & GEDDES	SPECIAL COUNSEL FOR TRUSTEE - FEES PAID PER COURT ORDER ENTERED 10/14/14REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASE:DAVID BUNZEL	3210-600		22,733.33	75,922.52
08/16/16	1164	ASHBY & GEDDES	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID PER COURT ORDER ENTERED 10/14/14REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASE:DR. AND MRS MOW	3210-600		55,800.00	20,122.52

Page Subtotals: \$78,533.33 \$109,441.83

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
08/29/16	1165	US STORAGE CENTERS - ORANGE	SEPT, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	19,870.02
08/31/16		Integrity Bank	Bank Service Fee	2600-000		65.81	19,804.21
09/07/16	1166	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. #MYW7509; 09/01/2016 - 09/30/2016 PER COURT ORDER ENTERED 8/1/16	2410-000		1,384.60	18,419.61
09/30/16		Integrity Bank	Bank Service Fee	2600-000		29.84	18,389.77
10/03/16	1167	US STORAGE CENTERS - ORANGE	OCT, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	18,137.27
10/17/16	1168	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NBD3593; 10/01/2016 - 10/31/2016 PER COURT ORDER ENTERED 8/1/16	2410-000		1,405.00	16,732.27
10/31/16		Integrity Bank	Bank Service Fee	2600-000		28.80	16,703.47
11/01/16	1169	US STORAGE CENTERS - ORANGE	NOV, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	16,450.97
11/09/16	1170	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NDH0568; 11/01/2016 - 11/30/2016 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	15,076.57
11/30/16	1171	US STORAGE CENTERS - ORANGE	DEC, 2016 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	14,824.07
11/30/16		Integrity Bank	Bank Service Fee	2600-000		24.62	14,799.45
12/02/16	1172	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NFD1051; 12/01/2016 - 12/31/2016 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	13,425.05
12/31/16		Integrity Bank	Bank Service Fee	2600-000		22.29	13,402.76
01/04/17	1173	US STORAGE CENTERS - ORANGE	JAN, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	13,150.26
01/10/17		Transfer From: *****7718	Transfer to replenish \$25K retainer to Phillips ADR and to pay 1/2 of mediation fee \$4,200.	9999-000	! 29,200.00		42,350.26
01/10/17	1174	PHILLIPS ADR	ARBITRATION FEE - FUNDS TO REPLENISH RETAINER; GOLDEN V. O'MELVENY ET AL PAID PER COURT ORDER ENTERED 1/12/15	3721-000		25,000.00	17,350.26

Page Subtotals: \$29,200.00 \$31,972.26

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
01/10/17	1175	JAMS, INC.	MEDIATION FEE (ESTATE PAYS 1/2 THE FEE) REFERENCE # *****9860 INVOICE #*****2-220 GOLDEN VS. O'MELVENY & MEYERS LLP ET AL PAID PER COURT ORDER ENTERED 1/12/15	3721-000		4,200.00	13,150.26
01/11/17		Transfer From: *****7718	Transfer all segregated funds into general account.	9999-000	! 148,825.28		161,975.54
01/11/17	1176	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASE: DAVID BUNZEL (COMMISSION ON FOURTH SETTLEMENT PAYMENT)	3210-600		11,366.98	150,608.56
01/11/17	1177	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - EXPENSES PER EXPENSE STATEMENTS #8	3220-610		3,263.74	147,344.82
01/12/17	1178	JEFFREY I. GOLDEN, TRUSTEE	TRUSTEE FEE - REMAINING FEES OWED - \$11,549.49; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	2100-000		6,643.67	140,701.15
01/12/17	1179	LOBEL WEILAND GOLDEN FRIEDMAN LLP	ATTORNEY FOR TRUSTEE FEE - REMAINING FEES OWED - \$16,187.10; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3110-000		9,311.40	131,389.75
01/12/17	1180	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE FEE - REMAINING FEES OWED - \$116,773.90; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3210-600		67,172.52	64,217.23
01/12/17	1181	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$66,772.98; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3731-420		38,410.20	25,807.03
01/12/17	1182	CROWE HORWATH LLP	TAX CONSULTANT FOR TRUSTEE FEE - REMAINING FEES OWED - \$1,980.36; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3410-000		1,139.18	24,667.85
01/12/17	1183	GLASSRATNER ADVISORY & CAPITAL GROUP LLC	FINANCIAL ADVISOR & FORENSIC ACCOUNTANTS FOR TRUSTEE FEES - REMAINING FEES OWED - \$4,038.40; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3410-580		2,323.03	22,344.82
01/13/17	1184	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NJC2608; 01/01/2017 - 1/31/2017 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	20,970.42
01/23/17	1185	INTERNATIONAL SURETIES LTD.	BOND #016030866 TERM 01/04/17 TO 01/04/18	2300-000		63.66	20,906.76
01/31/17		Integrity Bank	Bank Service Fee	2600-000		138.85	20,767.91

Page Subtotals: \$148,825.28 \$145,407.63

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/03/17	1186	US STORAGE CENTERS - ORANGE	FEB, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		252.50	20,515.41
02/06/17	1187	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NLL6777; 02/01/2017 - 02/28/2017 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	19,141.01
02/28/17		Integrity Bank	Bank Service Fee	2600-000		86.66	19,054.35
03/03/17	1188	US STORAGE CENTERS - ORANGE	MAR, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		268.50	18,785.85
03/08/17	1189	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NNW7304; 03/01/2017 - 03/31/2017 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	17,411.45
03/31/17		Integrity Bank	Bank Service Fee	2600-000		68.83	17,342.62
04/03/17	{24}	JEFFREY I. GOLDEN	DISTRIBUTION FROM ALETHEIA INSIDER INDEX II, LP PAID TO INVESTOR ALETHEIA RESEARCH AND MANAGEMENT, INC.	1129-000	5,459.09		22,801.71
04/03/17	{23}	JEFFREY I. GOLDEN	DISTRIBUTION FROM ALETHEIA INSIDER INDEX I, LP PAID TO INVESTOR ALETHEIA RESEARCH AND MANAGEMENT, INC.	1129-000	7,106.82		29,908.53
04/05/17	1190	US STORAGE CENTERS - ORANGE	APR, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		268.50	29,640.03
04/10/17	1191	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NSM7398; 04/01/2017 - 04/30/2017 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	28,265.63
04/13/17		Transfer From: *****7718	Transfer to pay Ashby & Geddes remaining contingency fee owed re Bunzel settlement	9999-000	! 10,332.92		38,598.55
04/13/17	1192	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASE:DAVID BUNZEL (REMAINING COMMISSION OWED ON FINAL SETTLEMENT PAYMENT)	3210-600		10,332.92	28,265.63
04/30/17		Integrity Bank	Bank Service Fee	2600-000		51.15	28,214.48
05/03/17	1193	US STORAGE CENTERS - ORANGE	MAY, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		268.50	27,945.98

Page Subtotals: \$22,898.83 \$15,720.76

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
05/05/17		Transfer From: *****7718	Transfer all funds remaining in Segregated Trust Account to Checking Account. These funds are now Estate funds.	9999-000	! 59,665.08		87,611.06
05/08/17	1194	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NUV8304; 05/01/2017 - 05/31/2017 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	86,236.66
05/31/17		Integrity Bank	Bank Service Fee	2600-000		117.44	86,119.22
06/05/17	1195	US STORAGE CENTERS - ORANGE	JUNE, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		268.50	85,850.72
06/09/17	1196	DAVID M. BUNZEL	LIEN REMOVAL EXPENSES PAID PER COURT ORDER ENTERED 3/16/17	2990-000		660.50	85,190.22
06/09/17	1197	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NUV8304; 06/01/2017 - 06/30/2017 PER COURT ORDER ENTERED 8/1/16	2410-000		1,374.40	83,815.82
06/21/17	1198	US STORAGE CENTERS - ORANGE	JULY, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/1/16	2410-000		268.50	83,547.32
06/30/17		Integrity Bank	Bank Service Fee	2600-000		122.02	83,425.30
07/07/17	1199	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. NZV6211; 07/01/2017 - 07/31/2017 PER COURT ORDER ENTERED 9/11/17	2410-000		1,442.22	81,983.08
07/31/17		Integrity Bank	Bank Service Fee	2600-000		122.68	81,860.40
08/01/17		Transfer From: *****7718	Transfer to pay Ashby & Geddes contingency fee owed re Clay Lacy Aviation Settlement	9999-000	! 31,250.00		113,110.40
08/01/17	1200	ASHBY & GEDDES, P.A.	Issued in wrong amount 31% contingency fee for \$125K settlement would be \$38,750.00. Voided on 08/03/2017	3210-600		31,250.00	81,860.40
08/02/17	1201	US STORAGE CENTERS - ORANGE	AUGUST, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	81,591.90
08/03/17		Transfer From: *****7718	Transfer to pay contingency fee (additional \$7,500 owed) and expenses totaling \$2,578.27.	9999-000	! 10,078.27		91,670.17
08/03/17	1200	ASHBY & GEDDES, P.A.	Issued in wrong amount 31% contingency fee for \$125K settlement would be \$38,750.00. Voided: check issued on 08/01/2017	3210-600		-31,250.00	122,920.17
08/03/17	1202	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE - FEESPAID PER COURT ORDER ENTERED 10/14/14 REPRESENTS 31% OF ANY RECOVERY RECEIVED PRIOR TO COMMENCEMENT OF TRIAL FOR THE FOLLOWING CASE:CLAY LACY AVIATION	3210-600		38,750.00	84,170.17

Page Subtotals: \$100,993.35 \$44,769.16

## Form 2

Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
08/03/17	1203	ASHBY & GEDDES, P.A.	SPECIAL COUNSEL FOR TRUSTEE EXPENSES PER EXPENSE STATEMENTS #9	3220-610		2,578.27	81,591.90
08/07/17	1204	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PCD5110; 08/01/2017 - 08/31/2017 PER COURT ORDER ENTERED 9/11/17	2410-000		1,454.91	80,136.99
08/31/17		Integrity Bank	Bank Service Fee	2600-000		136.69	80,000.30
09/05/17	1205	US STORAGE CENTERS - ORANGE	SEPT, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	79,731.80
09/11/17	1206	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PEP9948; 09/01/2017 - 09/30/2017 PER COURT ORDER ENTERED 9/11/17	2410-000		1,454.91	78,276.89
09/30/17		Integrity Bank	Bank Service Fee	2600-000		113.53	78,163.36
10/03/17	1207	US STORAGE CENTERS - ORANGE	OCT, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	77,894.86
10/10/17	1208	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PHC5159; 10/01/2017 - 10/31/2017 PER COURT ORDER ENTERED 9/11/17	2410-000		1,446.03	76,448.83
10/31/17		Integrity Bank	Bank Service Fee	2600-000		115.21	76,333.62
11/06/17	1209	US STORAGE CENTERS - ORANGE	NOV, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	76,065.12
11/06/17	1210	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PKR0580; 11/01/2017 - 11/30/2017 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	74,620.95
11/16/17	1211	PHILLIPS ADR	ARBITRATION FEE - GOLDEN V. O'MELVENY ET AL PAID PER COURT ORDER ENTERED 1/12/15; CAP IS \$100,000 FOR EXPENSES; INVOICE #14425 NOT PAID IN FULL	3721-000		32,025.00	42,595.95
11/28/17	1212	US STORAGE CENTERS - ORANGE	DEC, 2017 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	42,327.45
11/30/17		Integrity Bank	Bank Service Fee	2600-000		103.65	42,223.80
12/11/17	1213	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PNB9568; 12/01/2017 - 12/31/2017 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	40,779.63

Page Subtotals: \$0.00 \$43,390.54

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
12/21/17	{24}	JEFFREY I. GOLDEN, TRUSTEE FOR THE	FUNDS FROM ALETHEIA INSIDER INDEX II, LP REPRESENTING COSTS/EXPENSES INCURRED ON BEHALF OF THE FUNDS	1129-000	39,314.00		80,093.63
12/21/17	{23}	JEFFREY I. GOLDEN, TRUSTEE FOR THE	FUNDS FROM ALETHEIA INSIDER INDEX I, LP REPRESENTING COSTS/EXPENSES INCURRED ON BEHALF OF THE FUNDS	1129-000	34,048.00		114,141.63
12/31/17		Integrity Bank	Bank Service Fee	2600-000		97.17	114,044.46
01/04/18		Transfer From: *****7718	Transfer of funds into checking account.	9999-000	! 195,892.29		309,936.75
01/04/18	1214	LOBEL WEILAND GOLDEN FRIEDMAN LLP	ATTORNEY FOR TRUSTEE FEE - REMAINING FEES OWED - \$7,140.45; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3110-000		9,046.65	300,890.10
01/04/18	1215	JEFFREY I. GOLDEN, TRUSTEE	TRUSTEE FEE - REMAINING FEES OWED - \$5,094.70; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	2100-000		6,454.79	294,435.31
01/04/18	1216	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE FEE - REMAINING FEES OWED - \$51,511.25; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3210-600		65,262.65	229,172.66
01/04/18	1217	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$29,454.87; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16 Stopped on 05/17/2018	3731-420		37,318.11	191,854.55
01/04/18	1218	CROWE HORWATH LLP	TAX CONSULTANT FOR TRUSTEE FEE - REMAINING FEES OWED - \$873.58; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3410-000		1,106.78	190,747.77
01/04/18	1219	GLASSRATNER ADVISORY & CAPITAL GROUP LLC	FINANCIAL ADVISOR & FORENSIC ACCOUNTANTS FOR TRUSTEE FEES- REMAINING FEES OWED - \$1,781.42; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16	3410-580		2,256.98	188,490.79
01/04/18	1220	LOBEL WEILAND GOLDEN FRIEDMAN LLP	ATTORNEY FOR TRUSTEE FEE - REMAINING FEES OWED - \$26,015.03; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 1/3/2018	3110-000		32,959.97	155,530.82
01/04/18	1221	LOBEL WEILAND GOLDEN FRIEDMAN LLP	ATTORNEY FOR TRUSTEE EXPENSES - PAID PER COURT ORDER ENTERED 1/3/18	3120-000		285.40	155,245.42
01/04/18	1222	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE FEE - REMAINING FEES OWED - \$42,349.91; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 1/3/18	3210-600		53,655.59	101,589.83
01/04/18	1223	BAKER & HOSTETLER, LLP	SPECIAL COUNSEL FOR TRUSTEE EXPENSES - PAID PER COURT ORDER ENTERED 1/3/18	3220-610		1,589.83	100,000.00

Page Subtotals: \$269,254.29 \$210,033.92

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
01/05/18	1224	US STORAGE CENTERS - ORANGE	JAN, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	99,731.50
01/16/18	1225	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PRP6739; 01/01/2018 - 1/31/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	98,287.33
01/22/18	1226	INTERNATIONAL SURETIES LTD.	Bond #016030866	2300-000		98.13	98,189.20
01/31/18		Integrity Bank	Bank Service Fee	2600-000		258.12	97,931.08
02/08/18	1227	US STORAGE CENTERS - ORANGE	FEB, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		268.50	97,662.58
02/08/18	1228	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PUD1257; 02/01/2018 - 02/28/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	96,218.41
02/28/18		Integrity Bank	Bank Service Fee	2600-000		180.08	96,038.33
03/05/18	1229	US STORAGE CENTERS - ORANGE	MAR, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	95,753.83
03/06/18	1230	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PUD1257; 03/01/2018 - 03/31/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	94,309.66
03/31/18		Integrity Bank	Bank Service Fee	2600-000		196.44	94,113.22
04/04/18	1231	US STORAGE CENTERS - ORANGE	APR, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	93,828.72
04/10/18	1232	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. PUD1257; 04/01/2018 - 04/30/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,465.65	92,363.07
04/30/18		Integrity Bank	Bank Service Fee	2600-000		187.89	92,175.18
05/03/18	1233	US STORAGE CENTERS - ORANGE	MAY, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	91,890.68
05/07/18	1234	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AAUL618; 05/01/2018 - 05/31/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	90,446.51

Page Subtotals: \$0.00 \$9,553.49

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
05/17/18	1217	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$29,454.87; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16 Stopped: check issued on 01/04/2018	3731-420		-37,318.11	127,764.62
05/17/18	1235	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$29,454.87; PAID PER CT ORDER ENT. 5/31/16 Voided on 08/30/2018	3731-420		37,318.11	90,446.51
05/31/18	1236	US STORAGE CENTERS - ORANGE	JUNE, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	90,162.01
05/31/18		Integrity Bank	Bank Service Fee	2600-000		190.63	89,971.38
06/11/18	1237	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. ABWS293; 06/01/2018 - 06/30/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,444.17	88,527.21
06/30/18		Integrity Bank	Bank Service Fee	2600-000		181.98	88,345.23
07/06/18	1238	US STORAGE CENTERS - ORANGE	JULY, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	88,060.73
07/09/18	1239	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. ABWS293; 07/01/2018 - 07/31/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,509.39	86,551.34
07/24/18	1240	US STORAGE CENTERS - ORANGE	AUGUST, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	86,266.84
07/31/18		Integrity Bank	Bank Service Fee	2600-000		184.93	86,081.91
08/05/18		Independent Bank	Bank Service Fee	2600-000		29.57	86,052.34
08/06/18		Independent Bank	Bank Service Fee	2600-000		-29.57	86,081.91
08/10/18	1241	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AEBB975; 08/01/2018 - 08/31/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,511.49	84,570.42
08/30/18	1235	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$29,454.87; PAID PER CT ORDER ENT. 5/31/16 Voided: check issued on 05/17/2018	3731-420		-37,318.11	121,888.53
08/30/18	1242	US STORAGE CENTERS - ORANGE	SEPTEMBER, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 9/11/17	2410-000		284.50	121,604.03

Page Subtotals: \$0.00 -\$31,157.52

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
08/30/18	1243	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$29,454.87; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16; STALE DATED Voided on 04/22/2019	3731-420		37,318.11	84,285.92
08/31/18		Independent Bank	Bank Service Fee	2600-000		2,133.04	82,152.88
09/05/18		Independent Bank	Bank Service Fee	2600-000		-2,133.04	84,285.92
09/06/18		Independent Bank	Bank Service Fee	2600-000		181.16	84,104.76
09/10/18	1244	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AFDF475; 09/01/2018 - 09/30/2018 PER COURT ORDER ENTERED 9/11/17	2410-000		1,511.49	82,593.27
09/24/18	1245	US STORAGE CENTERS - ORANGE	OCTOBER, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		284.50	82,308.77
11/05/18	1246	US STORAGE CENTERS - ORANGE	NOVEMBER, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		284.50	82,024.27
11/05/18	1247	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AHHW188; 11/01/2018 - 11/30/2018 PER COURT ORDER ENTERED 4/10/19	2410-000		1,511.49	80,512.78
12/03/18	1248	US STORAGE CENTERS - ORANGE	DECEMBER, 2018 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		284.50	80,228.28
12/03/18	1249	US STORAGE CENTERS - ORANGE	ISSUED IN ERROR Voided on 12/03/2018	2410-000		219.50	80,008.78
12/03/18	1249	US STORAGE CENTERS - ORANGE	ISSUED IN ERROR Voided: check issued on 12/03/2018	2410-000		-219.50	80,228.28
12/11/18	1250	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AJKN856; 12/01/2018 - 12/31/2018 PER COURT ORDER ENTERED 4/10/19	2410-000		1,541.96	78,686.32
01/03/19	1251	US STORAGE CENTERS - ORANGE	JANUARY, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		284.50	78,401.82
01/07/19	1252	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AKND834; 1/01/2019 - 1/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,553.54	76,848.28
01/31/19	1253	INTERNATIONAL SURETIES LTD.	Bond #016030866 Term 1/4/2019 to 1/4/2020	2300-000		110.08	76,738.20

Page Subtotals: \$0.00 \$44,865.83

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/05/19	1254	US STORAGE CENTERS - ORANGE	FEBRUARY, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		284.50	76,453.70
02/11/19	1255	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. ALRL696; 2/01/2019 - 2/28/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,565.12	74,888.58
03/05/19	1256	US STORAGE CENTERS - ORANGE	MARCH, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	74,588.08
03/11/19	1257	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AGFG139; 10/01/2018 - 10/31/2018 PER COURT ORDER ENTERED 4/10/19	2410-000		1,511.49	73,076.59
03/11/19	1258	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. AMTV754; 3/01/2019 - 3/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,599.86	71,476.73
04/02/19	1259	US STORAGE CENTERS - ORANGE	APRIL, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	71,176.23
04/08/19	1260	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. ANVR057; 4/01/2019 - 4/30/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,511.49	69,664.74
04/22/19	1243	ERNST & YOUNG	ADVISORY SERVICES PROVIDER FOR THE TRUSTEE FEE - REMAINING FEES OWED - \$29,454.87; THIS PAYMENT IS MADE PER COURT ORDER ENTERED 5/31/16; STALE DATED Voided: check issued on 08/30/2018	3731-420		-37,318.11	106,982.85
04/22/19	1261	US STORAGE CENTERS - ORANGE	MAY, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	106,682.35
05/09/19	1262	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. APXN222; 5/01/2019 - 5/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,523.04	105,159.31
06/03/19	1263	US STORAGE CENTERS - ORANGE	JUNE, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	104,858.81

Page Subtotals: \$0.00 -\$28,120.61

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
06/07/19	1264	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. BSMR163; 6/01/2019 - 6/30/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,523.07	103,335.74
06/28/19	1265	US STORAGE CENTERS - ORANGE	JULY, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	103,035.24
07/08/19	1266	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. BVCT095; 7/01/2019 - 7/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,686.28	101,348.96
08/02/19	1267	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. BWSS626; 8/01/2019 - 8/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,701.53	99,647.43
08/06/19	1268	US STORAGE CENTERS - ORANGE	AUGUST, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	99,346.93
09/05/19	1269	US STORAGE CENTERS - ORANGE	SEPTEMBER, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		300.50	99,046.43
09/10/19	1270	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. BYHT195; 9/01/2019 - 9/30/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,701.53	97,344.90
10/03/19	1271	US STORAGE CENTERS - ORANGE	OCTOBER, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		288.50	97,056.40
10/07/19	1272	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. BZXB274; 10/01/2019 - 10/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,714.16	95,342.24
11/04/19	1273	US STORAGE CENTERS - ORANGE	NOVEMBER, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		288.50	95,053.74
12/02/19	1274	US STORAGE CENTERS - ORANGE	DECEMBER, 2019 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 4/10/19	2410-000		288.50	94,765.24
01/03/20	1275	US STORAGE CENTERS - ORANGE	JANUARY, 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		288.50	94,476.74

Page Subtotals: \$0.00 \$10,382.07

## Form 2

Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/03/20	1276	US STORAGE CENTERS - ORANGE	FEBRUARY, 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		288.50	94,188.24
03/02/20	1277	US STORAGE CENTERS - ORANGE	MARCH, 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	93,894.74
03/18/20	1278	INTERNATIONAL SURETIES LTD.	Bond #016030866 Term 1/4/2020 to 1/4/2021	2300-000		161.66	93,733.08
03/31/20	1279	US STORAGE CENTERS - ORANGE	APRIL, 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	93,439.58
04/30/20	1280	US STORAGE CENTERS - ORANGE	MAY 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	93,146.08
06/03/20	1281	US STORAGE CENTERS - ORANGE	JUNE 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	92,852.58
07/06/20	1282	US STORAGE CENTERS - ORANGE	JULY 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	92,559.08
07/27/20	1283	US STORAGE CENTERS - ORANGE	AUGUST 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	92,265.58
08/31/20		Independent Bank	Account Analysis Charge	2600-000		285.01	91,980.57
09/01/20	1284	US STORAGE CENTERS - ORANGE	SEPTEMBER 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	91,687.07
09/30/20		Independent Bank	Account Analysis Charge	2600-000		284.26	91,402.81
10/01/20	1285	US STORAGE CENTERS - ORANGE	OCTOBER 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	91,109.31
10/30/20		Independent Bank	Account Analysis Charge	2600-000		283.47	90,825.84
11/02/20	1286	INTERNATIONAL SURETIES LTD.	BOND #016030866 (EFFECTIVE 10/1/20)	2300-000		1.94	90,823.90

Page Subtotals: \$0.00 \$3,652.84

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
11/04/20	1287	US STORAGE CENTERS - ORANGE	NOVEMBER 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	90,530.40
11/30/20	1288	US STORAGE CENTERS - ORANGE	DECEMBER 2020 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	90,236.90
11/30/20		Independent Bank	Account Analysis Charge	2600-000		282.57	89,954.33
12/31/20		Independent Bank	Account Analysis Charge	2600-000		281.71	89,672.62
01/15/21	1289	US STORAGE CENTERS - ORANGE	JANUARY 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	89,379.12
01/21/21	1290	INTERNATIONAL SURETIES LTD.	Bond #016229732	2300-000		102.39	89,276.73
01/29/21		Independent Bank	Account Analysis Charge	2600-000		266.54	89,010.19
02/02/21	1291	US STORAGE CENTERS - ORANGE	FEBRUARY 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	88,716.69
02/23/21	1292	INDEPENDENT MANAGEMENT SERVICES	REIMBURSEMENT TO IMS FOR JANUARY, 2021 LATE FEES PAID TO US STORAGE FOR UNIT #A034; PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		59.03	88,657.66
02/26/21		Independent Bank	Account Analysis Charge	2600-000		250.76	88,406.90
03/01/21	1293	US STORAGE CENTERS - ORANGE	MARCH 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	88,113.40
03/31/21		Independent Bank	Account Analysis Charge	2600-000		249.92	87,863.48
04/01/21	1294	US STORAGE CENTERS - ORANGE	APRIL 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	87,569.98
04/30/21		Independent Bank	Account Analysis Charge	2600-000		249.40	87,320.58
05/13/21	1295	US STORAGE CENTERS - ORANGE	MAY, 2021 STORAGE FEE; UNIT #A034; INCLUDES LATE FEE OF \$44 (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		337.50	86,983.08
05/25/21	1296	US STORAGE CENTERS - ORANGE	JUNE, 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	86,689.58
05/28/21		Independent Bank	Account Analysis Charge	2600-000		248.40	86,441.18

Page Subtotals: \$0.00 \$4,382.72

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	INDEPENDENT BANK
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****7718 CHECKING ACCOUNT - CH.7
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
06/18/21	1297	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. CCMW878; 11/01/2019 - 11/30/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,701.53	84,739.65
06/18/21	1298	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. CGBK198; 12/01/2019 - 12/31/2019 PER COURT ORDER ENTERED 4/10/19	2410-000		1,726.79	83,012.86
06/18/21	1299	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4877; 01/01/2020 - 01/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,701.53	81,311.33
06/18/21	1300	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4874; 02/01/2020 - 02/29/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,701.53	79,609.80
06/18/21	1301	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4872; 03/01/2020 - 03/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,701.53	77,908.27
06/18/21	1302	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4869; 04/01/2020 - 04/30/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,701.53	76,206.74
06/18/21	1303	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4866; 05/01/2020 - 05/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,701.53	74,505.21
06/18/21	1304	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4863; 06/01/2020 - 06/30/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,701.53	72,803.68
06/21/21	1305	US STORAGE CENTERS - ORANGE	JULY, 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 1/15/2021	2410-000		293.50	72,510.18
06/30/21		Independent Bank	Account Analysis Charge	2600-000		243.89	72,266.29
07/15/21	1306	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4861; 07/01/2020 - 07/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	70,516.29
07/15/21	1307	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4858; 08/01/2020 - 08/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	68,766.29
07/15/21	1308	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4855; 09/01/2020 - 09/30/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	67,016.29

Page Subtotals: \$0.00 \$19,424.89

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
07/15/21	1309	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4853; 10/01/2020 - 10/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	65,266.29
07/15/21	1310	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4846; 11/01/2020 - 11/30/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	63,516.29
07/15/21	1311	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4840; 12/01/2020 - 12/31/2020 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	61,766.29
07/15/21	1312	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4835; 01/01/2021 - 01/31/2021 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	60,016.29
07/15/21	1313	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4831; 02/01/2021 - 02/28/2021 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	58,266.29
07/15/21	1314	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4827; 03/01/2021 - 03/31/2021 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	56,516.29
07/15/21	1315	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4821; 04/01/2021 - 04/30/2021 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	54,766.29
07/15/21	1316	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4817; 05/01/2021 - 05/31/2021 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	53,016.29
07/15/21	1317	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. 9JK4815; 06/01/2021 - 06/30/2021 PER COURT ORDER ENTERED 1/15/21	2410-000		1,750.00	51,266.29
07/30/21		Independent Bank	Account Analysis Charge	2600-000		219.26	51,047.03
08/03/21	1318	US STORAGE CENTERS - ORANGE	AUG, 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	50,748.53
08/03/21	1319	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. DSYG476; 07/01/2021 - 07/31/2021 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,179.47	48,569.06
08/12/21	1320	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. DVVT089; 08/01/2021 - 08/31/2021 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,193.88	46,375.18

Page Subtotals: \$0.00 \$20,641.11

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
08/30/21	1321	US STORAGE CENTERS - ORANGE	SEPT, 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	46,076.68
08/31/21	1322	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. DXJT3599; 09/01/2021 - 09/30/2021 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,189.56	43,887.12
08/31/21		Independent Bank	Account Analysis Charge	2600-000		191.75	43,695.37
09/28/21	1323	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. DYVX965; 10/01/2021 - 10/31/2021 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,189.56	41,505.81
09/29/21	1324	US STORAGE CENTERS - ORANGE	OCT, 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	41,207.31
09/30/21		Independent Bank	Account Analysis Charge	2600-000		185.51	41,021.80
10/29/21		Independent Bank	Account Analysis Charge	2600-000		181.49	40,840.31
11/02/21	{24}	JEFFREY I. GOLDEN	FINAL DISTRIBUTION FROM ALETHEIA INSIDER INDEX II, LP PAID TO INVESTOR ALETHEIA RESEARCH AND MANAGEMENT, INC.	1129-000	1,252.90		42,093.21
11/02/21	{23}	JEFFREY I GOLDEN	FINAL DISTRIBUTION FROM ALETHEIA INSIDER INDEX I, LP PAID TO INVESTOR ALETHEIA RESEARCH AND MANAGEMENT, INC.	1129-000	374.47		42,467.68
11/02/21	1325	US STORAGE CENTERS - ORANGE	NOV, 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	42,169.18
11/03/21	1326	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GBKP301; 11/01/2021 - 11/30/2021 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,206.31	39,962.87
11/19/21	{24}	JEFFREY I. GOLDEN	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; TO BE PAID OVER TO WEILAND GOLDEN GOODRICH FROM ALETHEIA INSIDER INDEX II (SOME ALLOWED FEES REMOVED - \$411.38 DUE TO BANK FEES THAT WERE NOT FACORED INTO FINAL DISTRIBUTION BALANCE)	1129-000	5,760.12		45,722.99
11/19/21	{24}	JEFFREY I. GOLDEN	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; TO BE PAID OVER TO BAKER HOSTETLER LLP FROM ALETHEIA INSIDER INDEX II (SOME ALLOWED FEES REMOVED - \$1,400.00 DUE TO BANK FEES THAT WERE NOT FACORED INTO FINAL DISTRIBUTION BALANCE)	1129-000	20,051.25		65,774.24

Page Subtotals: \$27,438.74 \$8,039.68

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	INDEPENDENT BANK
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****7718 CHECKING ACCOUNT - CH.7
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
11/19/21	{23}	JEFFREY I. GOLDEN	SUPPLEMENT FINAL DISTRIBUTION FROM ALETHEIA INSIDER INDEX I, LP PAID TO INVESTOR ALETHEIA RESEARCH AND MANAGEMENT, INC.	1129-000	7.06		65,781.30
11/19/21	{23}	JEFFREY I. GOLDEN	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; TO BE PAID OVER TO WEILAND GOLDEN GOODRICH LLP FROM ALETHEIA INSIDER INDEX I	1129-000	6,171.50		71,952.80
11/19/21	{23}	JEFFREY I. GOLDEN	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; TO BE PAID OVER TO BAKER AND HOSTETLER LLP FROM ALETHEIA INSIDER INDEX I	1129-000	21,451.25		93,404.05
11/30/21		Independent Bank	Account Analysis Charge	2600-000		201.77	93,202.28
12/01/21	1327	US STORAGE CENTERS - ORANGE	DEC. 2021 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	92,903.78
12/01/21	1328	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GCVJ998; 12/01/2021 - 12/31/2021 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,189.56	90,714.22
12/17/21	1329	BAKER & HOSTETLER, LLP	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; PAID OVER TO BAKER AND HOSTETLER LLP FROM ALETHEIA INSIDER INDEX I Stopped on 12/28/2021	3210-600		21,451.25	69,262.97
12/17/21	1330	BAKER & HOSTETLER, LLP	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; PAID OVER TO BAKER HOSTETLER LLP FROM ALETHEIA INSIDER INDEX II (SOME ALLOWED FEES REMOVED - \$1,400.00 DUE TO BANK FEES THAT WERE NOT FACTORED INTO FINAL DISTRIBUTION BALANCE) Stopped on 12/28/2021	3210-600		20,051.25	49,211.72
12/28/21	1329	BAKER & HOSTETLER, LLP	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; PAID OVER TO BAKER AND HOSTETLER LLP FROM ALETHEIA INSIDER INDEX I Stopped; check issued on 12/17/2021	3210-600		-21,451.25	70,662.97
12/28/21	1330	BAKER & HOSTETLER, LLP	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; PAID OVER TO BAKER HOSTETLER LLP FROM ALETHEIA INSIDER INDEX II (SOME ALLOWED FEES REMOVED - \$1,400.00 DUE TO BANK FEES THAT WERE NOT FACTORED INTO FINAL DISTRIBUTION BALANCE) Stopped; check issued on 12/17/2021	3210-600		-20,051.25	90,714.22

Page Subtotals: \$27,629.81 \$2,689.83

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 CHECKING ACCOUNT - CH.7  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
12/28/21	1331	BAKER & HOSTETLER, LLP	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; PAID OVER TO BAKER AND HOSTETLER LLP FROM ALETHEIA INSIDER INDEX I	3210-600		21,451.25	69,262.97
12/28/21	1332	BAKER & HOSTETLER, LLP	LEGAL FEES ALLOWED PER COURT ORDER ENTERED 10/7/21; PAID OVER TO BAKER HOSTETLER LLP FROM ALETHEIA INSIDER INDEX II (SOME ALLOWED FEES REMOVED - \$1,400.00 DUE TO BANK FEES THAT WERE NOT FACORED INTO FINAL DISTRIBUTION BALANCE)	3210-600		20,051.25	49,211.72
12/28/21	1333	US STORAGE CENTERS - ORANGE	JAN. 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	48,913.22
12/28/21	1334	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GGKD934; 01/01/2022 - 01/31/2022 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,190.86	46,722.36
12/31/21		Independent Bank	Account Analysis Charge	2600-000		254.17	46,468.19
01/10/22	1335	INTERNATIONAL SURETIES LTD.	BOND #016229732	2300-000		147.79	46,320.40
01/31/22		Independent Bank	Account Analysis Charge	2600-000		188.97	46,131.43
02/01/22	1336	US STORAGE CENTERS - ORANGE	FEB. 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	45,832.93
02/01/22	1337	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GHJD087; 02/01/2022 - 02/28/2022 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,223.61	43,609.32
02/11/22		Independent Bank	Transfer Funds	9999-000		43,609.32	0.00

<b>COLUMN TOTALS</b>	<b>2,978,546.93</b>	<b>2,978,546.93</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	1,139,024.21	142,129.32	
<b>Subtotal</b>	<b>1,839,522.72</b>	<b>2,836,417.61</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$1,839,522.72</b>	<b>\$2,836,417.61</b>	

## Form 2

Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 SECURITIES SEGREGATED ACC  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
07/08/13	{19}	CALIFORNIA BANK AND TRUST	ALETHEIA SECURITIES, INC. FUNDS FROM CLOSED OUT BANK ACCOUNT ACCT. #*****5301	1129-000	118,001.00		118,001.00
07/19/13	2001	GERY SADZEWICZ CONSULTING LLC	CONSULTING FEE PER COURT ORDER ENTERED 6/12/13	3731-000		5,000.00	113,001.00
07/31/13		Integrity Bank	Bank Service Fee	2600-000		135.07	112,865.93
08/31/13		Integrity Bank	Bank Service Fee	2600-000		182.05	112,683.88
09/30/13		Integrity Bank	Bank Service Fee	2600-000		175.89	112,507.99
10/31/13		Integrity Bank	Bank Service Fee	2600-000		181.47	112,326.52
11/30/13		Integrity Bank	Bank Service Fee	2600-000		175.33	112,151.19
12/31/13		Integrity Bank	Bank Service Fee	2600-000		180.89	111,970.30
01/31/14		Integrity Bank	Bank Service Fee	2600-000		180.60	111,789.70
02/28/14		Integrity Bank	Bank Service Fee	2600-000		162.86	111,626.84
03/31/14		Integrity Bank	Bank Service Fee	2600-000		180.05	111,446.79
04/30/14		Integrity Bank	Bank Service Fee	2600-000		173.95	111,272.84
05/31/14		Integrity Bank	Bank Service Fee	2600-000		179.47	111,093.37
06/30/14		Integrity Bank	Bank Service Fee	2600-000		173.40	110,919.97
07/31/14		Integrity Bank	Bank Service Fee	2600-000		178.90	110,741.07
08/31/14		Integrity Bank	Bank Service Fee	2600-000		178.62	110,562.45
09/30/14		Integrity Bank	Bank Service Fee	2600-000		172.57	110,389.88
10/31/14		Integrity Bank	Bank Service Fee	2600-000		178.05	110,211.83
11/30/14		Integrity Bank	Bank Service Fee	2600-000		172.03	110,039.80
12/31/14		Integrity Bank	Bank Service Fee	2600-000		177.48	109,862.32
01/31/15		Integrity Bank	Bank Service Fee	2600-000		177.20	109,685.12
02/28/15		Integrity Bank	Bank Service Fee	2600-000		159.79	109,525.33
03/31/15		Integrity Bank	Bank Service Fee	2600-000		176.66	109,348.67
04/30/15		Integrity Bank	Bank Service Fee	2600-000		170.68	109,177.99
05/31/15		Integrity Bank	Bank Service Fee	2600-000		176.09	109,001.90
06/30/15		Integrity Bank	Bank Service Fee	2600-000		170.14	108,831.76
07/31/15		Integrity Bank	Bank Service Fee	2600-000		175.54	108,656.22
08/31/15		Integrity Bank	Bank Service Fee	2600-000		175.25	108,480.97
09/30/15		Integrity Bank	Bank Service Fee	2600-000		169.32	108,311.65
10/31/15		Integrity Bank	Bank Service Fee	2600-000		174.70	108,136.95
11/30/15		Integrity Bank	Bank Service Fee	2600-000		168.79	107,968.16
12/31/15		Integrity Bank	Bank Service Fee	2600-000		174.14	107,794.02
01/31/16		Integrity Bank	Bank Service Fee	2600-000		173.86	107,620.16
02/29/16		Integrity Bank	Bank Service Fee	2600-000		162.39	107,457.77
03/31/16		Integrity Bank	Bank Service Fee	2600-000		173.32	107,284.45
04/30/16		Integrity Bank	Bank Service Fee	2600-000		167.46	107,116.99
05/31/16		Integrity Bank	Bank Service Fee	2600-000		172.77	106,944.22
06/30/16		Integrity Bank	Bank Service Fee	2600-000		166.93	106,777.29
07/31/16		Integrity Bank	Bank Service Fee	2600-000		172.22	106,605.07

Page Subtotals: \$118,001.00 \$11,395.93

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	INDEPENDENT BANK
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****7718 SECURITIES SEGREGATED ACC
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
08/31/16		Integrity Bank	Bank Service Fee	2600-000		171.94	106,433.13
09/30/16		Integrity Bank	Bank Service Fee	2600-000		166.14	106,266.99
10/31/16		Integrity Bank	Bank Service Fee	2600-000		171.40	106,095.59
11/30/16		Integrity Bank	Bank Service Fee	2600-000		165.61	105,929.98
12/31/16		Integrity Bank	Bank Service Fee	2600-000		170.85	105,759.13
01/31/17		Integrity Bank	Bank Service Fee	2600-000		170.58	105,588.55
02/28/17		Integrity Bank	Bank Service Fee	2600-000		153.82	105,434.73
03/31/17		Integrity Bank	Bank Service Fee	2600-000		170.05	105,264.68
04/30/17		Integrity Bank	Bank Service Fee	2600-000		164.31	105,100.37
05/31/17		Integrity Bank	Bank Service Fee	2600-000		156.13	104,944.24
06/30/17		Integrity Bank	Bank Service Fee	2600-000		150.87	104,793.37
07/31/17		Integrity Bank	Bank Service Fee	2600-000		155.67	104,637.70
08/31/17		Integrity Bank	Bank Service Fee	2600-000		155.45	104,482.25
09/30/17		Integrity Bank	Bank Service Fee	2600-000		150.21	104,332.04
10/31/17		Integrity Bank	Bank Service Fee	2600-000		154.99	104,177.05
11/30/17		Integrity Bank	Bank Service Fee	2600-000		149.77	104,027.28
12/31/17		Integrity Bank	Bank Service Fee	2600-000		154.54	103,872.74
01/04/18	2002	JEFFREY I. GOLDEN, TRUSTEE	Check issued from wrong account Voided on 01/04/2018	2100-000		6,454.79	97,417.95
01/04/18	2002	JEFFREY I. GOLDEN, TRUSTEE	Check issued from wrong account Voided: check issued on 01/04/2018	2100-000		-6,454.79	103,872.74
01/31/18		Integrity Bank	Bank Service Fee	2600-000		154.31	103,718.43
02/28/18		Integrity Bank	Bank Service Fee	2600-000		139.16	103,579.27
03/31/18		Integrity Bank	Bank Service Fee	2600-000		153.87	103,425.40
04/30/18		Integrity Bank	Bank Service Fee	2600-000		148.69	103,276.71
05/31/18		Integrity Bank	Bank Service Fee	2600-000		153.42	103,123.29
06/30/18		Integrity Bank	Bank Service Fee	2600-000		148.25	102,975.04
07/31/18		Integrity Bank	Bank Service Fee	2600-000		152.98	102,822.06
08/05/18		Independent Bank	Bank Service Fee	2600-000		24.63	102,797.43
08/06/18		Independent Bank	Bank Service Fee	2600-000		-24.63	102,822.06
08/31/18		Independent Bank	Bank Service Fee	2600-000		1,799.38	101,022.68
09/05/18		Independent Bank	Bank Service Fee	2600-000		-1,799.38	102,822.06
09/06/18		Independent Bank	Bank Service Fee	2600-000		152.82	102,669.24
01/07/21	2003	DIANA SIGALOS	SETTLEMENT RELATED TO ARBITRATION AGAINST ALETHEIA SECURITIES; PAID PER COURT ORDER ENTERED 10/30/20	8500-000		20,000.00	82,669.24
02/11/22		Independent Bank	Transfer Funds	9999-000		82,669.24	0.00

<b>COLUMN TOTALS</b>	<b>118,001.00</b>	<b>118,001.00</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	0.00	82,669.24	
<b>Subtotal</b>	<b>118,001.00</b>	<b>35,331.76</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$118,001.00</b>	<b>\$35,331.76</b>	

## Form 2

Exhibit 9

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 BATEMAN EICHLER SEGREGATE  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
07/08/13	{26}	CALIFORNIA BANK & TRUST	BATEMAN EICHLER & CO. LLC FUNDS FROM CLOSED OUT BANK ACCOUNT ACCT. #****8671	1121-000	537.49		537.49
07/31/13		Integrity Bank	Bank Service Fee	2600-000		0.61	536.88
08/31/13		Integrity Bank	Bank Service Fee	2600-000		0.86	536.02
09/30/13		Integrity Bank	Bank Service Fee	2600-000		0.83	535.19
10/31/13		Integrity Bank	Bank Service Fee	2600-000		0.86	534.33
11/30/13		Integrity Bank	Bank Service Fee	2600-000		0.83	533.50
12/31/13		Integrity Bank	Bank Service Fee	2600-000		0.86	532.64
01/31/14		Integrity Bank	Bank Service Fee	2600-000		0.85	531.79
02/28/14		Integrity Bank	Bank Service Fee	2600-000		0.77	531.02
03/31/14		Integrity Bank	Bank Service Fee	2600-000		0.85	530.17
04/30/14		Integrity Bank	Bank Service Fee	2600-000		0.82	529.35
05/31/14		Integrity Bank	Bank Service Fee	2600-000		0.85	528.50
06/30/14		Integrity Bank	Bank Service Fee	2600-000		0.82	527.68
07/31/14		Integrity Bank	Bank Service Fee	2600-000		0.85	526.83
08/31/14		Integrity Bank	Bank Service Fee	2600-000		0.84	525.99
09/30/14		Integrity Bank	Bank Service Fee	2600-000		0.81	525.18
10/31/14		Integrity Bank	Bank Service Fee	2600-000		0.84	524.34
11/30/14		Integrity Bank	Bank Service Fee	2600-000		0.81	523.53
12/31/14		Integrity Bank	Bank Service Fee	2600-000		0.84	522.69
01/31/15		Integrity Bank	Bank Service Fee	2600-000		0.84	521.85
02/28/15		Integrity Bank	Bank Service Fee	2600-000		0.75	521.10
03/31/15		Integrity Bank	Bank Service Fee	2600-000		0.84	520.26
04/30/15		Integrity Bank	Bank Service Fee	2600-000		0.81	519.45
05/31/15		Integrity Bank	Bank Service Fee	2600-000		0.83	518.62
06/30/15		Integrity Bank	Bank Service Fee	2600-000		0.80	517.82
07/31/15		Integrity Bank	Bank Service Fee	2600-000		0.83	516.99
08/31/15		Integrity Bank	Bank Service Fee	2600-000		0.83	516.16
09/30/15		Integrity Bank	Bank Service Fee	2600-000		0.80	515.36
10/31/15		Integrity Bank	Bank Service Fee	2600-000		0.83	514.53
11/30/15		Integrity Bank	Bank Service Fee	2600-000		0.80	513.73
12/31/15		Integrity Bank	Bank Service Fee	2600-000		0.82	512.91
01/31/16		Integrity Bank	Bank Service Fee	2600-000		0.82	512.09
02/29/16		Integrity Bank	Bank Service Fee	2600-000		0.77	511.32
03/31/16		Integrity Bank	Bank Service Fee	2600-000		0.82	510.50
04/30/16		Integrity Bank	Bank Service Fee	2600-000		0.79	509.71
05/31/16		Integrity Bank	Bank Service Fee	2600-000		0.82	508.89
06/30/16		Integrity Bank	Bank Service Fee	2600-000		0.79	508.10
07/31/16		Integrity Bank	Bank Service Fee	2600-000		0.81	507.29
08/31/16		Integrity Bank	Bank Service Fee	2600-000		0.81	506.48
09/30/16		Integrity Bank	Bank Service Fee	2600-000		0.79	505.69

Page Subtotals: \$537.49 \$31.80

**Form 2****Exhibit 9**

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	INDEPENDENT BANK
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****7718 BATEMAN EICHLER SEGREGATE
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
10/31/16		Integrity Bank	Bank Service Fee	2600-000		0.81	504.88
11/30/16		Integrity Bank	Bank Service Fee	2600-000		0.78	504.10
12/31/16		Integrity Bank	Bank Service Fee	2600-000		0.81	503.29
01/31/17		Integrity Bank	Bank Service Fee	2600-000		0.81	502.48
02/28/17		Integrity Bank	Bank Service Fee	2600-000		0.73	501.75
03/31/17		Integrity Bank	Bank Service Fee	2600-000		0.80	500.95
04/30/17		Integrity Bank	Bank Service Fee	2600-000		0.78	500.17
05/31/17		Integrity Bank	Bank Service Fee	2600-000		0.74	499.43
06/30/17		Integrity Bank	Bank Service Fee	2600-000		0.71	498.72
07/31/17		Integrity Bank	Bank Service Fee	2600-000		0.74	497.98
08/31/17		Integrity Bank	Bank Service Fee	2600-000		0.73	497.25
09/30/17		Integrity Bank	Bank Service Fee	2600-000		0.71	496.54
10/31/17		Integrity Bank	Bank Service Fee	2600-000		0.73	495.81
11/30/17		Integrity Bank	Bank Service Fee	2600-000		0.71	495.10
12/31/17		Integrity Bank	Bank Service Fee	2600-000		0.73	494.37
01/31/18		Integrity Bank	Bank Service Fee	2600-000		0.73	493.64
02/28/18		Integrity Bank	Bank Service Fee	2600-000		0.66	492.98
03/31/18		Integrity Bank	Bank Service Fee	2600-000		0.73	492.25
04/30/18		Integrity Bank	Bank Service Fee	2600-000		0.70	491.55
05/31/18		Integrity Bank	Bank Service Fee	2600-000		0.72	490.83
06/30/18		Integrity Bank	Bank Service Fee	2600-000		0.70	490.13
07/31/18		Integrity Bank	Bank Service Fee	2600-000		0.72	489.41
08/05/18		Independent Bank	Bank Service Fee	2600-000		0.11	489.30
08/06/18		Independent Bank	Bank Service Fee	2600-000		-0.11	489.41
08/31/18		Independent Bank	Bank Service Fee	2600-000		8.56	480.85
09/05/18		Independent Bank	Bank Service Fee	2600-000		-8.56	489.41
09/06/18		Independent Bank	Bank Service Fee	2600-000		0.73	488.68
02/11/22		Independent Bank	Transfer Funds	9999-000		488.68	0.00

<b>COLUMN TOTALS</b>	<b>537.49</b>	<b>537.49</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	0.00	488.68	
<b>Subtotal</b>	<b>537.49</b>	<b>48.81</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$537.49</b>	<b>\$48.81</b>	

## Form 2

Exhibit 9

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 SEGREGATED TRUST ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
01/12/15	{51}	BANK OF AMERICA - CASHIER'S CHECK	SETTLEMENT FUNDS FROM MICHAEL L. LANEY PER COURT ORDER ENTERED 4/9/15	1249-000	19,696.95		19,696.95
01/14/15	{51}	THOMSON REUTERS	SETTLEMENT FUNDS FROM THOMSON REUTERS PER COURT ORDER ENTERED 4/9/15	1249-000	45,000.00		64,696.95
01/16/15	{51}	PACIFIC WESTERN BANK - CASHIER'S CHECK	SETTLEMENT FUNDS FROM SEELEY BROTHERS PER COURT ORDER ENTERED 4/9/15	1249-000	12,000.00		76,696.95
01/20/15	{51}	LEVINIUS, LLC	SETTLEMENT FUNDS FROM ROBERT LEVIN PER COURT ORDER ENTERED 4/9/15	1249-000	57,562.70		134,259.65
02/05/15	{51}	FTI CONSULTING INC.	SETTLEMENT FUNDS FROM FTI CONSULTING INC. PER COURT ORDER ENTERED 4/9/15	1249-000	! 9,000.00		143,259.65
02/11/15	{51}	ABM PARKING SERVICES	SETTLEMENT FUNDS FROM ABM ON-SITE SERVICES-WEST, INC. SERVICES PER COURT ORDER ENTERED 4/9/15	1249-000	4,400.00		147,659.65
03/30/15	{51}	CITIBANK - CASHIER'S CHECK	SETTLEMENT FUNDS FROM LA NETWORKS PER COURT ORDER ENTERED 5/29/15	1249-000	20,000.00		167,659.65
04/17/15	{51}	MORGAN, LEWIS & BOCKIUS LLP	SETTLEMENT FUNDS FROM BINGHAM MCCUTCHEN LLP PER COURT ORDER ENTERED 4/9/15	1249-000	5,625.00		173,284.65
06/05/15	{51}	AMERICAN EXPRESS TRAVEL RELATED SERVICES	SETTLEMENT PAYMENT PAID PER COURT ORDER ENTERED 6/12/15	1249-000	85,000.00		258,284.65
06/08/15	{51}	CUSHMAN & WAKEFIELD	SETTLEMENT PAYMENT PER COURT ORDER ENTERED 6/12/15	1249-000	7,000.00		265,284.65
06/25/15		Transfer To: *****7718	Transfer to pay special counsel, Ashby & Geddes, P.A. per Court order entered 10/14/14. Engagement letter provides that Ashby shall receive 31% of any recovery prior to commencement of trial. Cases: ABM Parking Services; LA Networks; Seeley Brothers;	9999-000		49,184.49	216,100.16
07/06/15	{51}	MARK C. SCALZO	GOLDEN VS. SCALZO SETTLEMENT PAYMENT PER COURT ORDER ENTERED 8/3/15	1249-000	6,500.00		222,600.16
07/13/15		Transfer From: *****7718	Transferred to checking account in error. Only needed one transfer of \$28,520.	9999-000	! 28,520.00		251,120.16
07/13/15		Transfer To: *****7718	Transfer to pay special counsel, Ashby & Geddes, P.A. per Court order entered 10/14/14. Engagement letter provides that Ashby shall receive 31% of any recovery prior to commencement of trial. Cases: American Express; Cushman Wakefield.	9999-000		28,520.00	222,600.16
07/13/15		Transfer To: *****7718	Transfer to pay special counsel, Ashby & Geddes, P.A. per Court order entered 10/14/14. Engagement letter provides that Ashby shall receive 31% of any recovery prior to commencement of trial. Cases: American Express; Cushman Wakefield.	9999-000		28,520.00	194,080.16

Page Subtotals: \$300,304.65 \$106,224.49

## Form 2

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## Cash Receipts And Disbursements Record

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 SEGREGATED TRUST ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
07/22/15	{51}	ALLSTATE BENEFITS	GOLDEN VS. AMERICAN HERITAGE LIFE INSURANCE COMPANY SETTLEMENT PAYMENT PER COURT ORDER ENTERED 8/4/15	1249-000	15,000.00		209,080.16
08/12/15		Transfer To: *****7718	Transfer to pay expenses to Ashby & Geddes per professional fee statements #2, #3 and #4	9999-000		8,226.47	200,853.69
10/07/15		Transfer To: *****7718	Transfer of funds from Segregated Trust Account.	9999-000		179,353.69	21,500.00
10/14/15	{51}	HOLTHOUSE CARLIN & VAN TRIGT LLP	GOLDEN VS. HOLTHOUSE CARLIN & VAN TRIGT LLP SETTLEMENT PAYMENT PER COURT ORDER ENTERED	1249-000	24,000.00		45,500.00
11/16/15	{51}	JORDAN B. PEIKIN	GOLDEN VS. ROGER PEIKIN SETTLEMENT PAYMENT PER COURT ORDER ENTERED	1249-000	100,000.00		145,500.00
12/09/15	{51}	TRISTRAR RISK MANAGEMENT	GOLDEN VS. FREEDMAN + TAITELMAN LLP SETTLEMENT PAYMENT PER COURT ORDER ENTERED 11/5/15	1249-000	32,500.00		178,000.00
02/26/16		Transfer From: *****7718	Transfer Funds received by David Bunzel to segregated account.	9999-000	! 70,000.00		248,000.00
02/26/16		Transfer To: *****7718	Transfer funds to pay Ashby & Geddes their recovery fee of 31% of Settlements with American Heritage, Holthouse Carlin, Roger Peikin, Mark C. Scalzo and David Bunzel	9999-000		66,805.00	181,195.00
05/03/16	{51}	METHANWILL FAMILY OFFICE LTD.	2ND PAYMENT - SETTLEMENT WITH DAVID BUNZEL	1249-000	36,666.66		217,861.66
05/27/16	{51}	WILLIAM C. W. MOW	GOLDEN VS. MOW SETTLEMENT PAYMENT PER COURT ORDER ENTERED	1249-000	180,000.00		397,861.66
05/31/16		Transfer To: *****7718	Transfer to pay Ashby & Geddes their recovery fee of 31% of Settlements with David Bunzel (second payment)	9999-000		14,637.39	383,224.27
06/01/16		Transfer To: *****7718	Transfer to pay professional fees and expenses per Court order entered 5/31/16.	9999-000		200,000.00	183,224.27
08/01/16	{51}	METHANWILL FAMILY OFFICE LTD.	3RD PAYMENT - SETTLEMENT WITH DAVID BUNZEL	1249-000	36,666.67		219,890.94
08/16/16		Transfer To: *****7718	Transfer to pay Ashby & Geddes (Bunzel and Mow Settlements)	9999-000		78,533.33	141,357.61
12/16/16	{51}	METHANWILL FAMILY OFFICE LTD.	4TH PAYMENT - SETTLEMENT WITH DAVID BUNZEL	1249-000	36,667.67		178,025.28
01/10/17		Transfer To: *****7718	Transfer to replenish \$25K retainer to Phillips ADR and to pay 1/2 of mediation fee \$4,200.	9999-000		29,200.00	148,825.28
01/11/17		Transfer To: *****7718	Transfer all segregated funds into general account.	9999-000		148,825.28	0.00
03/13/17	{51}	METHANWILL FAMILY OFFICE LTD.	5TH AND FINAL PAYMENT - SETTLEMENT WITH DAVID BUNZEL	1249-000	69,998.00		69,998.00
04/13/17		Transfer To: *****7718	Transfer to pay Ashby & Geddes remaining contingency fee owed re Bunzel settlement	9999-000		10,332.92	59,665.08

Page Subtotals: \$601,499.00 \$735,914.08

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** INDEPENDENT BANK  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*7718 SEGREGATED TRUST ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
05/05/17		Transfer To: *****7718	Transfer all funds remaining in Segregated Trust Account to Checking Account. These funds are now Estate funds.	9999-000		59,665.08	0.00
05/17/17	{51}	CLAY LACY AVIATION, INC.	SETTLEMENT PAID IN FULL	1249-000	! 125,000.00		125,000.00
07/14/17	{5}	FIDELITY BROKERAGE SERVICES LLC	FUNDS FROM FIDELITY INVESTMENT ACCOUNT #670-888168; NATIONAL FINANCIAL SERVICES LLC ACCT. ENDING 0389; THESE FUNDS REPRESENT THE CHANGE IN INVESTMENT VALUE	1129-000	12.23		125,012.23
07/14/17	{5}	FIDELITY BROKERAGE SERVICES LLC	FUNDS FROM FIDELITY INVESTMENT ACCOUNT #670-888168; NATIONAL FINANCIAL SERVICES LLC ACCT. ENDING 0389; THESE FUNDS REPRESENT FIDELITY GOVERNMENT CASH RESERVES	1129-000	112,208.33		237,220.56
08/01/17		Transfer To: *****7718	Transfer to pay Ashby & Geddes contingency fee owed re Clay Lacy Aviation Settlement	9999-000		31,250.00	205,970.56
08/03/17		Transfer To: *****7718	Transfer to pay contingency fee (additional \$7,500 owed) and expenses totaling \$2,578.27.	9999-000		10,078.27	195,892.29
01/04/18		Transfer To: *****7718	Transfer of funds into checking account.	9999-000		195,892.29	0.00

<b>COLUMN TOTALS</b>	<b>1,139,024.21</b>	<b>1,139,024.21</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	98,520.00	1,139,024.21	
<b>Subtotal</b>	<b>1,040,504.21</b>	<b>0.00</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$1,040,504.21</b>	<b>\$0.00</b>	

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** Veritex Community Bank  
                   MANAGEMENT, I      **Account #:** \*\*\*\*\*1801 CHECKING ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/11/22		Veritex Community Bank	Transfer Funds	9999-000	43,609.32		43,609.32
02/28/22	5001	US STORAGE CENTERS - ORANGE	MAR. 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	43,310.82
03/01/22	5002	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GKJC954; 03/01/2022 - 03/31/2022 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,189.56	41,121.26
03/29/22	5003	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GLWX091; 04/01/2022 - 04/30/2022 PER COURT ORDER ENTERED 8/11/2021	2410-000		2,157.64	38,963.62
03/29/22	5004	US STORAGE CENTERS - ORANGE	APR. 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	38,665.12
03/31/22		Veritex Community Bank	Bank Service Fee	2600-000		67.54	38,597.58
04/29/22	5005	US STORAGE CENTERS - ORANGE	MAY 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	38,299.08
04/29/22		Veritex Community Bank	Bank Service Fee	2600-000		62.69	38,236.39
05/10/22	5006	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GNKK271; 05/01/2022 - 05/31/2022 PER COURT ORDER ENTERED 8/11/2021 Voided on 06/20/2022	2410-000		2,157.64	36,078.75
05/31/22		Veritex Community Bank	Bank Service Fee	2600-000		59.72	36,019.03
06/02/22	5007	US STORAGE CENTERS - ORANGE	JUNE 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		298.50	35,720.53
06/20/22	5006	IRON MOUNTAIN	STORAGE FEES; CUSTOMER ID #L3242; INV. GNKK271; 05/01/2022 - 05/31/2022 PER COURT ORDER ENTERED 8/11/2021 Voided: check issued on 05/10/2022	2410-000		-2,157.64	37,878.17
06/20/22	5008	US STORAGE CENTERS - ORANGE	JULY 2022 STORAGE FEE; UNIT #A034; (INCLUDES \$12 INSURANCE EFFECTIVE JANUARY, 2016); PAID PER COURT ORDER ENTERED 8/11/2021	2410-000		316.50	37,561.67
06/30/22		Veritex Community Bank	Bank Service Fee	2600-000		59.24	37,502.43
07/29/22		Veritex Community Bank	Bank Service Fee	2600-000		60.51	37,441.92
08/31/22		Veritex Community Bank	Bank Service Fee	2600-000		60.41	37,381.51

Page Subtotals: \$43,609.32 \$6,227.81

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** Veritex Community Bank  
                   MANAGEMENT, I      **Account #:** \*\*\*\*\*1801 CHECKING ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
09/22/22	5009	IRON MOUNTAIN	CUSTOMER ID 01222.0I3242; FINAL STORAGE FEES, RETRIEVAL AND DESTRUCTION COSTS PAID PER COURT ORDER ENTERED 9/20/22	2410-000		15,000.00	22,381.51
09/26/22	5010	D. MASIN CONSULTING, LLC	COSTS TO RETRIEVE AND DESTROY BOXES IN STORAGE UNIT; PER COURT ORDER ENTERED 9/20/22	3991-000		600.00	21,781.51
09/30/22		Veritex Community Bank	Bank Service Fee	2600-000		59.14	21,722.37
10/31/22		Veritex Community Bank	Bank Service Fee	2600-000		33.26	21,689.11
11/30/22		Veritex Community Bank	Bank Service Fee	2600-000		33.87	21,655.24
12/30/22		Veritex Community Bank	Bank Service Fee	2600-000		34.94	21,620.30
01/30/23	5011	INTERNATIONAL SURETIES LTD.	BOND # 016229732	2300-000		907.56	20,712.74
01/31/23		Veritex Community Bank	Bank Service Fee	2600-000		34.88	20,677.86
02/28/23		Veritex Community Bank	Bank Service Fee	2600-000		30.42	20,647.44
03/31/23		Veritex Community Bank	Bank Service Fee	2600-000		35.46	20,611.98
04/06/23		Veritex Bank	Wire Transfer To Fund New Bank Account	9999-000		20,611.98	0.00

<b>COLUMN TOTALS</b>	<b>43,609.32</b>	<b>43,609.32</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	43,609.32	20,611.98	
<b>Subtotal</b>	<b>0.00</b>	<b>22,997.34</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$22,997.34</b>	

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	Veritex Community Bank
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****1802 SECURITIES SEGREGATED ACC
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/11/22		Veritex Community Bank	Transfer Funds	9999-000	82,669.24		82,669.24
03/31/22		Veritex Community Bank	Bank Service Fee	2600-000		133.40	82,535.84
04/29/22		Veritex Community Bank	Bank Service Fee	2600-000		133.18	82,402.66
05/31/22		Veritex Community Bank	Bank Service Fee	2600-000		128.68	82,273.98
06/30/22		Veritex Community Bank	Bank Service Fee	2600-000		128.48	82,145.50
07/29/22		Veritex Community Bank	Bank Service Fee	2600-000		132.55	82,012.95
08/31/22		Veritex Community Bank	Bank Service Fee	2600-000		132.34	81,880.61
09/30/22		Veritex Community Bank	Bank Service Fee	2600-000		136.39	81,744.22
10/31/22		Veritex Community Bank	Bank Service Fee	2600-000		123.40	81,620.82
11/30/22		Veritex Community Bank	Bank Service Fee	2600-000		127.46	81,493.36
12/30/22		Veritex Community Bank	Bank Service Fee	2600-000		131.50	81,361.86
01/31/23		Veritex Community Bank	Bank Service Fee	2600-000		131.29	81,230.57
02/28/23		Veritex Community Bank	Bank Service Fee	2600-000		118.39	81,112.18
03/31/23		Veritex Community Bank	Bank Service Fee	2600-000		139.33	80,972.85
04/06/23		Veritex Bank	Wire Transfer To Fund New Bank Account	9999-000		80,972.85	0.00

<b>COLUMN TOTALS</b>	<b>82,669.24</b>	<b>82,669.24</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	82,669.24	80,972.85	
<b>Subtotal</b>	<b>0.00</b>	<b>1,696.39</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$1,696.39</b>	

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** Veritex Community Bank  
                   MANAGEMENT, I      **Account #:** \*\*\*\*\*1803 BATEMAN EICHLER SEGREGATE  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
02/11/22		Veritex Community Bank	Transfer Funds	9999-000	488.68		488.68
03/31/22		Veritex Community Bank	Bank Service Fee	2600-000		0.78	487.90
04/29/22		Veritex Community Bank	Bank Service Fee	2600-000		0.78	487.12
05/31/22		Veritex Community Bank	Bank Service Fee	2600-000		0.76	486.36
06/30/22		Veritex Community Bank	Bank Service Fee	2600-000		0.75	485.61
07/29/22		Veritex Community Bank	Bank Service Fee	2600-000		0.78	484.83
08/31/22		Veritex Community Bank	Bank Service Fee	2600-000		0.78	484.05
09/30/22		Veritex Community Bank	Bank Service Fee	2600-000		0.80	483.25
10/31/22		Veritex Community Bank	Bank Service Fee	2600-000		0.72	482.53
11/30/22		Veritex Community Bank	Bank Service Fee	2600-000		0.75	481.78
12/30/22		Veritex Community Bank	Bank Service Fee	2600-000		0.77	481.01
01/31/23		Veritex Community Bank	Bank Service Fee	2600-000		0.77	480.24
02/28/23		Veritex Community Bank	Bank Service Fee	2600-000		0.69	479.55
03/31/23		Veritex Community Bank	Bank Service Fee	2600-000		0.82	478.73
04/06/23		Veritex Bank	Wire Transfer To Fund New Bank Account	9999-000		478.73	0.00

<b>COLUMN TOTALS</b>	<b>488.68</b>	<b>488.68</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	488.68	478.73	
<b>Subtotal</b>	<b>0.00</b>	<b>9.95</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$9.95</b>	

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** Veritex Community Bank  
MANAGEMENT, I      **Account #:** \*\*\*\*\*1804 SEGRETED TRUST ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance

(No transactions on file for this period)

COLUMN TOTALS		0.00	0.00	\$0.00
Less: Bank Transfers/CDs		0.00	0.00	
<b>Subtotal</b>		<b>0.00</b>	<b>0.00</b>	
Less: Payments to Debtors			0.00	
<b>NET Receipts / Disbursements</b>		<b>\$0.00</b>	<b>\$0.00</b>	

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**Cash Receipts And Disbursements Record**

Case No.:	2:12-47718- BR	Trustee Name:	Jeffrey I. Golden, Trustee (002360)
Case Name:	ALETHEIA RESEARCH AND MANAGEMENT, I	Bank Name:	East West Bank
Taxpayer ID #:	**-***7814	Account #:	*****0134 SECURITIES SEGREGATED ACCOUNT
For Period Ending:	07/22/2025	Blanket Bond (per case limit):	\$5,000,000.00
		Separate Bond (if applicable):	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
04/06/23		East West Bank	Wire From Former Bank	9999-000	80,972.85		80,972.85
11/08/23		Transfer Debit to TriState Capital Bank acct XXXXXX8960	Transfer Debit to TriState Capital Bank acct XXXXXX8960	9999-000		80,972.85	0.00

<b>COLUMN TOTALS</b>	<b>80,972.85</b>	<b>80,972.85</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	80,972.85	80,972.85	
<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$0.00</b>	

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND  
MANAGEMENT, I  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Bank Name:** East West Bank  
**For Period Ending:** 07/22/2025      **Account #:** \*\*\*\*\*0127 GENERAL ACCOUNT  
**Blanket Bond (per case limit):** \$5,000,000.00  
**Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
04/06/23		East West Bank	Wire From Former Bank	9999-000	20,611.98		20,611.98
08/24/23	{23}	JEFFREY I. GOLDEN, CHAPTER 7 TRUSTEE	UNCLAIMED FUNDS FROM ALETHEIA INSIDER INDEX I ACCOUNT; SUPPLEMENTAL TO FINAL DISTRIBUTION PAID TO VASILIOS POULOS MC PC PROFIT; TURNED OVER TO MAIN CASE IN ORDER TO CLOSE OUT ALETHEIA INSIDER INDEX I ACCOUNT	1180-000	15.05		20,627.03
11/08/23		Transfer Debit to TriState Capital Bank acct XXXXXX8887	Transfer Debit to TriState Capital Bank acct XXXXXX8887	9999-000		20,627.03	0.00

<b>COLUMN TOTALS</b>	<b>20,627.03</b>	<b>20,627.03</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	20,611.98	20,627.03	
<b>Subtotal</b>	<b>15.05</b>	<b>0.00</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$15.05</b>	<b>\$0.00</b>	

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**Cash Receipts And Disbursements Record**

Case No.:	2:12-47718- BR	Trustee Name:	Jeffrey I. Golden, Trustee (002360)
Case Name:	ALETHEIA RESEARCH AND MANAGEMENT, I	Bank Name:	East West Bank
Taxpayer ID #:	**-***7814	Account #:	*****0141 BATEMAN EICHLER SEGREGATED ACCOUNT
For Period Ending:	07/22/2025	Blanket Bond (per case limit):	\$5,000,000.00
		Separate Bond (if applicable):	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
04/06/23		East West Bank	Wire From Former Bank	9999-000	478.73		478.73
11/08/23		Transfer Debit to TriState Capital Bank acct XXXXXX8911	Transfer Debit to TriState Capital Bank acct XXXXXX8911	9999-000		478.73	0.00

<b>COLUMN TOTALS</b>	<b>478.73</b>	<b>478.73</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	478.73	478.73	
<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$0.00</b>	

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** TriState Capital Bank  
   MANAGEMENT, I      **Account #:** \*\*\*\*\*8887 GENERAL ACCOUNT  
**Taxpayer ID #:** \*\*-\*\*\*7814      **Blanket Bond (per case limit):** \$5,000,000.00  
**For Period Ending:** 07/22/2025      **Separate Bond (if applicable):** N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
11/08/23		Transfer Credit from East West Bank acct XXXXXX0127	Transition Credit from East West Bank acct XXXXXX0127	9999-000	20,627.03		20,627.03
02/21/24	10001	INTERNATIONAL SURETIES, LTD	BOND #612419605; TERM: 01/04/24 TO 1/04/25	2300-000		101.78	20,525.25
04/15/24	10002	VASILIOS Poulos MC PC PROFIT	ALETHEIA INSIDER INDEX I ACCOUNT; SUPPLEMENTAL TO FINAL DISTRIBUTION PAID TO VASILIOS Poulos MC PC PROFIT Stopped on 07/18/2024	8500-000		15.05	20,510.20
07/18/24	10002	VASILIOS Poulos MC PC PROFIT	ALETHEIA INSIDER INDEX I ACCOUNT; SUPPLEMENTAL TO FINAL DISTRIBUTION PAID TO VASILIOS Poulos MC PC PROFIT Stopped: check issued on 04/15/2024	8500-000		-15.05	20,525.25
09/30/24		To Account #*****8887	Transfer of Funds to General Account	9999-000	80,972.85		101,498.10
09/30/24		To Account #*****8887	Transfer of Funds to General Account	9999-000	478.73		101,976.83
05/08/25	10003	UNITED STATES BANKRUPTCY COURT	COURT COSTS - PAID PER COURT ORDER ENTERED 5/7/2025	2700-000		6,186.00	95,790.83
05/08/25	10004	OFFICE OF THE UNITED STATES TRUSTEE	TRUSTEE QUARTERLY FEES - CLAIM NO. 67; PAID PER COURT ORDER ENTERED 5/7/25	2950-000		4,875.00	90,915.83
05/08/25	10005	INTERNAL REVENUE SERVICE	ADMINISTRATIVE TAX CLAIM - CLAIM NO. 62; PAID PER COURT ORDER ENTERED 5/7/25	2810-000		520.14	90,395.69
05/08/25	10006	FRANCHISE TAX BOARD	ADMINISTRATIVE TAX CLAIM - CLAIM NO. 66-3; PAID PER COURT ORDER ENTERED 5/7/25	2820-000		14,073.17	76,322.52
05/08/25	10007	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE FEE - PAID PER COURT ORDER ENTERED 5/7/25	3210-600		39,199.01	37,123.51
05/08/25	10008	BAKER & HOSTETLER LLP	SPECIAL COUNSEL FOR TRUSTEE EXPENSES - PAID PER COURT ORDER ENTERED 5/7/25	3220-610		7,379.61	29,743.90
05/08/25	10009	HAHN FIFE & COMPANY LLP	ACCOUNTANT FOR TRUSTEE FEE - PAID PER COURT ORDER ENTERED 5/7/25	3410-000		13,380.15	16,363.75
05/08/25	10010	HAHN FIFE & COMPANY LLP	ACCOUNTANT FOR TRUSTEE EXPENSES - PAID PER COURT ORDER ENTERED 5/7/25	3420-000		1,550.42	14,813.33
05/08/25	10011	ERNST & YOUNG LLP	FINANCIAL CONSULTANT FOR TRUSTEE FEE - PAID PER COURT ORDER ENTERED 5/7/25	3731-420		14,813.33	0.00

<b>COLUMN TOTALS</b>	<b>102,078.61</b>	<b>102,078.61</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs		102,078.61	0.00
<b>Subtotal</b>	<b>0.00</b>	<b>102,078.61</b>	
Less: Payments to Debtors			0.00
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$102,078.61</b>	

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**Cash Receipts And Disbursements Record**

<b>Case No.:</b>	2:12-47718- BR	<b>Trustee Name:</b>	Jeffrey I. Golden, Trustee (002360)
<b>Case Name:</b>	ALETHEIA RESEARCH AND MANAGEMENT, I	<b>Bank Name:</b>	TriState Capital Bank
<b>Taxpayer ID #:</b>	**-***7814	<b>Account #:</b>	*****8911 BATEMAN EICHLER SEGREGATED ACCOUNT
<b>For Period Ending:</b>	07/22/2025	<b>Blanket Bond (per case limit):</b>	\$5,000,000.00
		<b>Separate Bond (if applicable):</b>	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
11/08/23		Transfer Credit from East West Bank acct XXXXX0141	Transition Credit from East West Bank acct XXXXX0141	9999-000	478.73		478.73
09/30/24		To Account #*****8887	Transfer of Funds to General Account	9999-000		478.73	0.00

<b>COLUMN TOTALS</b>	<b>478.73</b>	<b>478.73</b>	<b>\$0.00</b>
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Less: Bank Transfers/CDs	478.73	478.73
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<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>
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Less: Payments to Debtors		0.00
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<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$0.00</b>
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**Cash Receipts And Disbursements Record**

Case No.:	2:12-47718- BR	Trustee Name:	Jeffrey I. Golden, Trustee (002360)
Case Name:	ALETHEIA RESEARCH AND MANAGEMENT, I	Bank Name:	TriState Capital Bank
Taxpayer ID #:	**-***7814	Account #:	*****8960 SECURITIES SEGREGATED ACCOUNT
For Period Ending:	07/22/2025	Blanket Bond (per case limit):	\$5,000,000.00
		Separate Bond (if applicable):	N/A

1	2	3	4	5	6	7	
Trans. Date	Check or Ref. #	Paid To / Received From	Description of Transaction	Uniform Tran. Code	Deposit \$	Disbursement \$	Account Balance
11/08/23		Transfer Credit from East West Bank acct XXXXX0134	Transition Credit from East West Bank acct XXXXX0134	9999-000	80,972.85		80,972.85
09/30/24		To Account #*****8887	Transfer of Funds to General Account	9999-000		80,972.85	0.00

<b>COLUMN TOTALS</b>	<b>80,972.85</b>	<b>80,972.85</b>	<b>\$0.00</b>
Less: Bank Transfers/CDs	80,972.85	80,972.85	
<b>Subtotal</b>	<b>0.00</b>	<b>0.00</b>	
Less: Payments to Debtors		0.00	
<b>NET Receipts / Disbursements</b>	<b>\$0.00</b>	<b>\$0.00</b>	

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**Cash Receipts And Disbursements Record**

**Case No.:** 2:12-47718- BR      **Trustee Name:** Jeffrey I. Golden, Trustee (002360)  
**Case Name:** ALETHEIA RESEARCH AND      **Bank Name:** TriState Capital Bank  
MANAGEMENT, I      **Account #:** \*\*\*\*\*8960 SECURITIES SEGREGATED  
**Taxpayer ID #:** \*\*-\*\*\*7814      ACCOUNT  
**For Period Ending:** 07/22/2025      **Blanket Bond (per case limit):** \$5,000,000.00  
**Separate Bond (if applicable):** N/A

Net Receipts:	\$2,998,580.47
Plus Gross Adjustments:	\$0.00
Less Payments to Debtor:	\$0.00
Less Other Noncompensable Items:	\$20,015.05
Net Estate:	<u>\$2,978,565.42</u>

<b>TOTAL - ALL ACCOUNTS</b>	<b>NET DEPOSITS</b>	<b>NET DISBURSEMENTS</b>	<b>ACCOUNT BALANCES</b>
*****7718 CHECKING ACCOUNT - CH.7	\$1,839,522.72	\$2,836,417.61	\$0.00
*****7718 SECURITIES SEGREGATED ACC	\$118,001.00	\$35,331.76	\$0.00
*****7718 BATEMAN EICHLER SEGREGATE	\$537.49	\$48.81	\$0.00
*****7718 SEGREGATED TRUST ACCOUNT	\$1,040,504.21	\$0.00	\$0.00
*****1801 CHECKING ACCOUNT	\$0.00	\$22,997.34	\$0.00
*****1802 SECURITIES SEGREGATED ACC	\$0.00	\$1,696.39	\$0.00
*****1803 BATEMAN EICHLER SEGREGATE	\$0.00	\$9.95	\$0.00
*****1804 SEGRATED TRUST ACCOUNT	\$0.00	\$0.00	\$0.00
*****0134 SECURITIES SEGREGATED ACCOUNT	\$0.00	\$0.00	\$0.00
*****0127 GENERAL ACCOUNT	\$15.05	\$0.00	\$0.00
*****0141 BATEMAN EICHLER SEGREGATED ACCOUNT	\$0.00	\$0.00	\$0.00
*****8887 GENERAL ACCOUNT	\$0.00	\$102,078.61	\$0.00
*****8911 BATEMAN EICHLER SEGREGATED ACCOUNT	\$0.00	\$0.00	\$0.00
*****8960 SECURITIES SEGREGATED ACCOUNT	\$0.00	\$0.00	\$0.00
	<b>\$2,998,580.47</b>	<b>\$2,998,580.47</b>	<b>\$0.00</b>